



**Public Participation in the Preparation of Port of Durban Expansion  
Development Plan: Back of Port Project, eThekweni Municipality**

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requirements for admittance to the Degree of Master of Town and  
Regional Planning (MTRP) in the School of Built Environment and  
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## Declaration

I declare that this dissertation is my own unaided work. It is being submitted for the Degree of Masters in Town and Regional Planning in the College of Humanities, School of Built Environment and Development Studies, University of KwaZulu-Natal, South Africa. It has not been submitted before for any degree or examination in any other University.

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## **Abstract**

This study examines public participation and the ensuing conflict in the preparation of Port of Durban plan. The Back of Port project is used as a case study. This included the factors that influenced the expansion of Port of Durban and its impact. This study adopted a qualitative research approach. Both primary and secondary sources of data were used. Interviews were conducted with key informants and the Community of Clairwood. The study revealed that public participation particularly in the post-apartheid era enjoys a high level of support across various sectors. However its practice is fraught with conceptual and practical difficulties. It was found that the extent of public participation that was undertaken in the Back of Port project plan was unsatisfactory and ineffective. The flawed public participation is the results of conflict of interest between the developers that support infrastructural economic imperatives to maximise economic development and local residents that advocate for effective public participation and bottom up development that would create local jobs, manufacture locally instead of exporting goods from other countries. The study recommends the need for collaborative network paradigm for citizen participation; where public participation works as part of a network; where government, development, professional actors are many and varied individual public entities; and where interest based entities rather than only interacting with the public entities but encouraged to interact with all citizen and also assist them to further interact with one another in the Back of Port project.

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## Acronyms

<b>BoP</b>	Back of Port
<b>ITS</b>	Intelligent Transportation Systems
<b>CRA</b>	Clairwood Ratepayers Association
<b>SDCEA</b>	South Durban Community Environmental Alliance
<b>DCT</b>	Durban Container Terminal
<b>SADC</b>	South African Development Community
<b>ABM</b>	Area Based Management
<b>SIA</b>	Social Impact Assessment
<b>EIA</b>	Environmental Impact Assessment
<b>CDRRA</b>	Clairwood with District Residents and Ratepayers Association
<b>IDP</b>	Integrated Development Plan
<b>TEU</b>	Twenty-foot Equivalent Unit
<b>KZN</b>	KwaZulu Natal
<b>NGOs</b>	Non-Government Organisation
<b>EMA</b>	eThekweni Municipal Area
<b>GDP</b>	Gross Domestic Product
<b>NSW</b>	New South Wales
<b>LAP &amp; LUMS</b>	Local Area Plan and Land Use Management Scheme

# Chapter One: Introduction and Research Methodology

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## 1. Introduction

### 1.1 Background to the Research

Since the inception of South Africa's first ever democratic government just over two decades ago, the favourable political and economic climate has led and improved global trade which has positively impacted in the country's economy (Pillay, 2012). The positive economic growth brought about a substantial increase in business at the KwaZulu Natal harbour port's import and exports (Maharaj, 2013).

Port of Durban is the heart of eThekweni's economy and Africa's busiest and largest container, liquid, vehicle port (Pillay, 2012). The port also stands as a vital cog in terms of employment in eThekweni Metropolitan area (Ross, 2010). Apart from being the key role in supporting the regional economy of eThekweni through the diverse port facilities it offers, it is also the international gateway for the Gauteng region, which is the main economic hub of South Africa's economy (Mather and Reddy, 2008). Based on existing literature the Port of Durban suffers from capacity insufficiencies, therefore needs to upgrade and expand berths 203 to 205, container terminals<sup>1</sup> in order to improve the safety of the berths as well as to improve the efficiency of the Port. The current layout of Durban port, which has the container handling capacity of 2.9 million (TEUs)<sup>2</sup> has major constraints in terms of capacity, delays in ship berthing and inadequacies due to rapid growth container volumes (Maharaj, 2013). Given that throughout in 2009 was just over 2.3 million (TEUs) and 2.5 Million (TEUs) in 2010, there is no doubt that the capacity constrain is indeed a desperate one (Ross, 2010).

The expansion will be a key to economic prosperity and development due to the quality, diversity and vitality of local businesses within eThekweni metropolitan area and South Africa as a whole. However not everyone is happy with the expansion of the port. Existing literature acknowledge the benefits and the reasons for construction and expansion the Port of Durban (Pillay, 2012, Maharaj, 2013, Ross, 2010, Mather and Reddy, 2008). However, the existing literature also acknowledges that, it is not only economic development that will be created by

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<sup>1</sup>Upgrade and expand will be short term port expansions made within the existing port, followed by the medium term development of a complementary new port on the old airport site, followed by a long term expansion in Bayhead. Berths 203 to 205 are the key container berths in the Port of Durban. Lengthening Berth 205 by 170m westward, Lengthening Berth 203 by 100m eastward, Widening Berths 203 to 205 by 50m seaward

<sup>2</sup>Teu is an acronym for Twenty-foot Equivalent Unit for describing a shipping terminal's cargo handling capacity. A standard 20 foot (40×4×4 feet) container equals two TEUs (each 20×8×8 feet).

upgrading and expanding the Port of Durban (Bond, 2014, Hanekom, 2014, Dardagan, 2013). The proposed expansion plan has somehow infuriated the Residents of Clairwood and the surrounding areas. The residents are against the port expansion hence they resorted to protest to voice out their frustrations. The community emphasises that the government is putting its own interest ahead of the environment as well those of the people living in surrounding areas (Lewis, 2014).

The community reported that “farmers who have been working on the land next to the former old Durban airport for the past 25 years will have the land literally dug out from underneath their feet and local markets’ product supply will dry up. This also means that people will either be forcibly removed from their houses or have their areas become so unliveable that they will eventually be squeezed out” (Lewis, 2014). Surrounding farmers who do farming for a living will not only lose their land which they have been residing in for more than two decades but will also lose their livelihoods. Petrochemicals industry is growing and monopolising the area, leaving little space for/and driving out small local business operating in the area. Lewis, (2014) argue that with the port expansion development taking place, this means subsistence fish folk will have limited access to the beach and the piers. In addition to all this, the Clairwood Racecourse which is the only South Durban’s only “green lung” left will be replaced to a logistic terminal further damaging the heritage of the Clairwood area.

## **1.2 Research Problem**

The government of South Africa has made it mandatory to apply public participatory approaches in urban planning and development and in the spirit and letter of the directive several projects have applied this approach and one of the them is the port development project, however little is known about the approach’s efficacy hence the commissioning of this research, (evaluation of existing attempts to implement the approach). As much as public participation is an acknowledged requirement of planning in South Africa and benefits from the great support from all sectors (Lizarralde, and Massyn, 2008). However it has been observed that the implementation of public participation in the real world is troubled with conceptual and practical problems (Emmett 2000). “Public hearings, review and comment procedures in particular do not work, they do not achieve genuine participation in planning or other decisions; they do not satisfy members of the public that they are being heard; they seldom can be said to improve the decisions that agencies and public officials make; and they do not incorporate a broad spectrum of the public (Innes and Booher, (2004:419). Moreover, these methods often antagonize the members of the public who try to work with them” (Innes

and Booher, (2004:419). This research seek to assess whether the views of the public are incorporated in port expansion projects and also aim to understand the nature of conflict that exist between Port Developers and Residents. This is to be achieved through an examination public participatory approach's efficacy in facilitating and encouraging effective public participation in the Back of Port project.

### 1.3 Research Objectives and Questions

#### 1.3.1 Objective

The main objective of this Research is to examine the role of participatory planning as an approach in facilitating effective public participation in urban spatial planning projects and minimize conflict between developers and residents.

#### 1.3.2 Research Question

The broad Research Question is how can participatory planning be used as a tool to minimize conflict between various stakeholders in the implementation of planning projects, particular the planning for port expansion?

The sub-objectives and sub-questions are listed in Table 1 below.

**Table 1: Shows a summary of themes, aims, objectives and accompanying research questions**

Themes	Objectives	Aims	Research questions
<b>Influencing External and Internal factors on Back Port of Durban Expansion</b>	To identify the factors that have influenced the expansion of the Port of Durban.	The aim is to understand the reasons and factors behind expansion of Port of Durban and other ports in the post 1994 in South Africa.	What have been the driving forces in expansion of Port Durban in the post 1994 in South Africa?
<b>Causes of conflict between Back of Port Developers and residents</b>	To identify nature of conflict between Back of Port Developers and Residents of Clairwood.  To identify challenges of the implementation of the Back of Port project	The aim is to understand the nature of conflict that exist between Port Developers and Residents of Clairwood.  The aim is to also understand the possible impacts of these challenges on Clairwood area and local community.	What characterizes the conflict between the Back of Port Developers and Residents of Clairwood?  What are the impacts of the implementation of the Back of Port Project?
<b>Public Participation in minimising conflict between Back of Port project and residents</b>	To examine the extent to which public participation was undertaken in preparation plan of the Back of Port Project Plan.	The aim is to examine the extent to which the views of the public were incorporated in the plan for this project.	To what extent was public participation undertaken in the preparation of Durban port project (Back of port plan)?

#### **1.4 Working Hypothesis**

Adequate and effective public participation would minimize individualist interest and create platform for collaborative understanding between Port Developers and Residents.

#### **1.5 Rationale of the Research**

There is a substantial body of literature in South Africa and beyond that documents participation (Evaratt *et al*, 2010). While public participation is an acknowledged requirement of sustainable development and planning worldwide, there is continuing debate and insufficient empirical evidence, on the effectiveness of public participation in practice (Pacione, 2013). In this sense this research hopes to help fill the gap that exists particularly in port expansion development in Durban. The researcher is of the view that any development requires that there should be public engagements and participation prior and after development plans as critical success components for that particular development. In situations where there are conflicting objectives of involved stakeholders, such as with the case of the BoP project, there is a need for a common vision from all relevant participants.

#### **1.6 Research Methodology**

Leedy *et al*, (1997) define research methodology as a procedure in which the answers to a question are achieved scientifically and systematically with the assistance of data. Therefore this section describes the methods used in this study and also set out the rationale behind the selected methodology. The research design, source of data, data collection, instrument and tools, procedure and analysis is presented below.

##### **1.6.1 Research Design**

The purpose of a research is to find answers to questions through applying scientific methods or certain procedures. Each research has its own methodology and procedures in order to complete the objectives and answer the questions set at the beginning. When conducting research two common type of researches; the qualitative and quantitative are used. Quantitative research is based on the quantitative measurements of some characteristics. According to Anderson (1987) quantitative research is based on “measurements to compare and analyze different variables”. It is applicable to phenomena that can be expressed in terms of quantities. On the other hand, qualitative research can be defined as “meanings, concepts, definitions, characteristics, metaphors, symbols, and descriptions of things” (Tewksbury, 2009: 39). Qualitative relies on four techniques for collecting information; firstly by participating in the

setting. Secondly, by directly observing. Thirdly by depth interviewing. Lastly by analyzing collected data (Marshall and Rossman 2006:97).

A research design is a cardinal instrument when planning for something, such as; the validation that the ongoing research procedure is still going the right direction, and the practical guide to ensure all procedures are in line for accuracy of the findings (Grunow, 1995: 93). In order to answer the main questions and sub-questions of this study, qualitative research method was used. The overall approach of both primary and secondary source was used to gain an insight into the main debates on public participation and conflict arising from the planning of the Back of Port project (BoP) and involved and affected community members. The information applied also provides opportunities on how to resolve the conflict between relevant stakeholders involved.

### **1.6.2 Sources of Data**

#### *1.6.2.1 Secondary Data*

In order to understand the concepts and theories underpinning this study, (public participation, conflict and port development), the research examined contemporary literature on functions and organisations of port, port-city relationships, port regionalisation, competitiveness, public participation, insurgent planning, advocacy planning, collaborative planning, anyport model and sustainable port development trends sourced from books, journal articles, newspaper articles, South African policies and legislations, municipal records (LUMS & LAP Reports) and maps. On the basis of this secondary data, the researcher was able to identify the key informants.

#### *1.6.2.2. Primary Data*

In order to capture and understand the views from institutions and stakeholders who have a directly and indirectly relationship within BoP projects, Primary data was also obtained from community member of Clairwood and key informants (South Durban Community Environmental Alliances (SDCEA), Civil Activists, EThekweni Municipality BoP planner/managers).

### **1.6.3 Data Collection**

#### *1.6.3.1 Sampling method and Sample Size*

The study was carried out in Clairwood Residential Area. It is one out of eight other neighbourhoods that are affected by the Back of Port project. For clarity in terms of the study

area, Back of Port Project incorporates and aligns with the Port of Durban expansion development. This project stretches out and consist of three areas of development; the Durban bay (Port of Durban), old airport site and Maydon Wharf (bayhead) and nine residential areas; Clairwood, Rossburgh, Umbilo industrial, Jacobs, Mobeni, Congella, Merewent, Isipingo Rail and Prospecton. However due to scope of this research, this study only focused on Clairwood as the main affected community.

This study employed purposive or judgmental sampling method and simple random sampling which was utilised to identify and select respondents and for selecting the community members. According to Kumar (1999:162) “the primary consideration in purposive/Judgmental sampling is the judgment of the researcher as to who can provide the best information to achieve the objective of the study”. Brown cited on Kumar (1999:162) and his associates argue that one of the advantages of utilizing judgmental sampling method it that it gives the researcher an opportunity to interview the respondent at their place of comfort, for example at home or events which are a good platform for believing will be critical for the research. Simple Random Sampling provides probability, meaning that the population is identified and acknowledged. Therefore the random selection provides each and every one an equal chance of being nominated. Rachel, (2012) confirms this statement that every member in the population stands an equal chance of being chosen randomly to participate this premise guided the choice of this sampling method.

#### *1.6.3.2 Sampling Procedure*

##### **(a) Selection of Community Members;-**

- ⇒ residing in Clairwood (within the parameters of the study area)
- ⇒ affected by the “Back of Port” project

A Questionnaire was prepared for community members residing at Clairwood to gather the effectiveness of community participation in the BoP project; a set of a face to face survey each consisting of questionnaires was distributed to 35 community members residing in Clairwood

##### **(b) Selection of Key informants;-**

- ⇒ The key Informants included those who had special knowledge about the study area “Back of Port” project and directly involved with the “Back of Port” Project were purposely selected because of their knowledge and direct engagement with project. There are summarized in the table below.

<b>Respondents</b>	<b>Designation/ affiliation</b>	<b>Institution</b>
2 Spokesperson for (SDCEA)	Spokesperson for (SDCEA)	South Durban Community Environmental Alliance (SDCEA)
1 Civil Society Activist	Director of the Centre for Civil Society	Center for Civil Society
2 eThekweni Municipality Planner	Back of Port Project Manager	eThekweni Municipality

The number of persons interviewed was informed by the time available to the researcher to conduct the study and to ensure the validity, reliability and rigour of the research. In assessing respondents' perceptions, opinions, and attitudes of the Community Members residing from Clairwood, the researcher used a Questionnaires as the main research instrument (see Appendix 2). For Key Informants an interview schedule was used (see Appendix 3; 4; 4). The research that is centred on interviews does not intend to show what the majority thinks, however the instruments is an important indicator to understand the perceptions and attitudes that are often not easy to gauge using other forms of research (Kitchen and Tate, 2000).

#### **1.6.4 Data Collection: Instrument and Tools**

This study employed a qualitative research method. According to Tewksbury, (2009:38) "Qualitative research is based on the premise that knowledge about humans is not possible without describing human experience as it is lived and as it is defined by the actors themselves." In light of the above mentioned, it was noted that a qualitative method was appropriate for this study because it allowed respondents to voice their concerns and experiences in their field of expertise making them actors in this regard. This method is usually used to gather qualitative data by creating a comfort condition that gives the respondent the time and opportunity to voice their opinions and believes on the subject of the study.

The researcher used structured and semi structured type of interviews as the core research tool for collection of data. As mentioned above the research that is centred on interviews does not intend to show what the majority thinks, however the instruments is an important indicator to understand the perceptions and attitudes that are often not easy to gauge using other forms of research. Interviews centred research provide opportunity for researchers to learn not only what people think, but reasons on why they hold a particular view. On one hand structured interviews allow for flexible focused two-way conversation (Shinedima, 2010). Whereas on the other hand the advantages of semi-structured interviews are that it is a practical way of collecting



information regarding things that can be observed easily; for example emotions and feelings. This method allows people to be able to express themselves in greater extent and it enables the researcher to easily pick up information that has either not occurred to the respondent or of which the respondent had no prior knowledge of.

In order to capture and record information and findings from the respondent, field notes and voice recorder was used to during interviews. Observation was also used as a tool for primary data collection to observe the study area.

#### **1.6.5 Data Collection: Procedure (Strategy)**

A set of three interview schedules was prepared for civil society activists, community representatives, officials from eThekweni Municipality and a questionnaire for community members. The first set of interviews was conducted with two BoP project managers from eThekweni municipality. The interview provided the background of the project and clarified how port of Durban link with the Back of Port Development. It also helped to answer some of sub-questions of this study particularly the driving forces of back of Port of Durban expansion.

The second set of interview was held with a civil activist from the Centre for Civil Society. The interview provided information on human rights, and reasons on why there has been growing risk associated with planning errors in post-apartheid. Examples of such include the growing number of white elephants construction projects combined with ecological dangers and social upheaval likely to generate a potentially explosive situation in coming years.

The third set of interviews was conducted with two community representatives from South Durban Community Environmental Alliance (SDCEA). Data generated from these interviews provided information on the conflict of interest between the developers and residents and particularly their dissatisfaction with the project as they were excluded from participating.

The fourth interview was with thirty five community members of Clairwood. This interview provided community perceptions regarding the project and identified already and possible impacts of the port development on their lives.

#### **1.6.6 Data Analysis**

The data collected was categorised into different themes corresponding to the sub objective and question of this research (Kitchen and Tate, 2000). Analysis of this research contains summarized data in accordance to research questions and objectives, as well as exploring comparisons from different data sources coding into SPSS and the use of Pie Charts. The

themes were grounded in the specific context of factors influencing the Durban port expansion, conflict between Port Developers and Residents and public participation. Port of Durban expansion in the 21<sup>st</sup> century and post 1994 in South Africa was evaluated against Bird's Anyport model while public participation in the Back of Port was evaluated against Arnstein's gradation of public participation. The resolution to the on the ongoing conflict of interest between Port Developers and residents was related to effective participation through collaborative network paradigm for citizen participation. Table 2 below summarizes how this study was undertaken.

### 1.6.7 Research Methodology Summary

Table 2 below presents a summary of themes, objectives, aims, research questions, data sources and concepts models and approaches used in the study.

**Table 2 Themes, Approaches and Objectives**

Themes	Objectives	Aims	Research Questions	Primary Sources	Secondary Sources	Concepts, Models and Approaches
<b>Influencing External and Internal factors on Back Port of Durban Expansion</b>	To identify the factors that have influenced the expansion of the Port of Durban.	The aim is to understand the reasons and factors behind expansion of Port of Durban and other ports in the post 1994 in South Africa.	What have been the driving forces in expansion of Port Durban in the post 1994 in South Africa?	Semi structured interviews and questionnaire	Existing literature: Municipal Records(LUMS Reports), Books, Journal articles, Newspaper articles, Maps, photographs	Competitiveness Port Regionalization Port-City Relationships GIS, to illustrate Maps “Anyport” model
<b>Causes of conflict between Back of Port Developers and residents</b>	To identify type of conflict between Back of Port Developers and Residents of Clairwood.  To identify challenges of the implementation of the Back of Port project.	The aim is to understand the type of conflict that exist between Port Developers and Residents of Clairwood.  The aim is to also understand the possible impacts of challenges on Clairwood area and local community.	What characterizes the conflict between the Back of Port Developers and Residents of Clairwood?  What are the impacts of the implementation of the Back of Port Project?	Semi structured interviews and questionnaire	Existing literature: books, journal articles, newspaper articles, photographs	Expansionist and ecological worldviews, Fundamental Goals of Planning
<b>Public Participation in minimising conflict between Back of Port project and residents</b>	To examine the extent to which public participation was undertaken in preparation plan of the Back of Port Project Plan.	The aim is to examine the extent to which the views of the public were incorporated in the plan for this project.	To what extent was public participation undertaken in the preparation of the Back of Port plan?	Semi structured interviews and questionnaire	Existing literature: books, journal articles, newspaper articles, South Africa’s policies and legislations	Criteria for public participation, Insurgent planning, Advocacy planning, Collaborative planning, Collaborative Network for Citizen Participation

## **1.7 Delimitation of the study**

This study focuses on Clairwood Residential Area that is affected by the Back of Port Project. It is grounded by the set objectives and research questions. Firstly, this includes the examining the internal and external factors influencing the Durban Port. Secondly it identifies the nature of conflict between BoP developers and Residents of Clairwood as well as the challenges in implementing the project. Thirdly it examines the extent to which public participation was undertaken in the preparation of BoP project plan.

The study area, BoP project incorporates and is aligned to the Port of Durban expansion development. This project stretches out and consist three areas of development; the Durban bay (Port of Durban), old airport site and Maydon Wharf (bayhead) and nine residential areas; Clairwood, Rossburgh, Umbilo industrial, Jacobs, Mobeni, Congella, Merewent, Isipingo Rail and Prospecton. However due to scope of this research this study only focused on Clairwood as the main affected community.

In essence this study aims to contribute to the academic discourses concerning conflict in spatial development project taking place in the post 1994 in South Africa due to insufficient of public participation in the preparation of the project.

## **1.8 Structure of the Dissertation**

### **Chapter One: Introduction**

Chapter one introduces the study and sets the research background; defines the research problem, and present the objectives of the research and questions. Research hypothesis and rationale of the research are also presented. The chapter also describes the research methodology and justifies the choice of methods used.

### **Chapter Two: Literature Review**

The literature review chapter draws on various perceptions contained in existing literature on port expansion development in the 21<sup>st</sup> century and participatory planning in spatial development projects.

### **Chapter Three: Conceptual and Theoretical framework**

This section is divided into two parts: Conceptual and Theoretical framework. The conceptual framework defines and explains the concepts used in this research and how they fit and relate

accordingly to each other. The theoretical framework builds on theories of public participation and ports evolution discussed in the discipline of planning within this century.

**Chapter Four:** Port of Durban Expansion (Back of Port Project): Challenges and Experiences. Chapter four examines the geographical, historical, situational analysis of Back of Port project and the future expansion of the Port of Durban is also presented.

**Chapter Five:** Discussion of Results and Analysis

Chapter five presents and discuss the findings of the research and provide the analysis of the findings.

**Chapter Six:** Summary of Findings, Conclusions and Recommendations

Chapter six summarises the findings, conclusions and present the recommendations.

## Chapter Two: Literature Review

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### 2. Introduction

#### 2.1 Port Development and Public Participation

The intention of this chapter “Literature Review” is to draw on perceptions contained in existing literature on port development and public participation within which the study can be conceptualised. Brief review of this section firstly, identifies factors influencing development of ports in the 21<sup>st</sup> century and post 1994 in South Africa driven by the forces of economic globalization. Secondly, it links port development and public participation primarily to indicate opportunities and conflict challenges that ensue both in international and local context by excluding and/or encompassing citizen participation in port development within the field of planning. This is done by drawing on successful and unsuccessful port development case studies examples trending around the world.

#### 2.2 Generic Role of Ports

Harbours and ports in the twenty first century represent a “digital revolutionary” way of moving and transporting goods, services and even information in the face of networked global cities (Greis, 2004). Within such regime, ports are considered as part of the Intelligent Transportation Systems ITS<sup>3</sup> in the adversary of conventional transport system that is characterized by congestion, deteriorating air quality, sprawl as well as high energy uses (Paaswell, 2004). Although (ITS) are well known as only associated with freight, vehicle and infrastructure operations, their usage in ports is no different, as they are based on facilitating co-modal transport as well as their co-ordination use improves productivity, security, make logistics more efficient, competitive and sustainable (FAL, 2012). Therefore this provides alternative solutions for rapid growing problems of air, environment, and traffic congestion, transport efficiency and protection of people and goods in transport (Rodos *et al*, 2014:285).

The world demand for rapid delivery of goods, services and information impose tremendous pressure on the port expansion developments. Rondinelli, (2004) indicate that the pressure results in profound changes in the global economy, distribution and production, which further result growing global trade, investments and movement mobility of all factors of production across local and international borders. Therefore ports stand as essential transportation mode

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<sup>3</sup>**Intelligent transportation systems (ITS)** are advanced applications which, without embodying intelligence as such, aim to provide innovative services relating to different modes of transport and traffic management and enable various users to be better informed and make safer, more coordinated, and 'smarter' use of transport networks

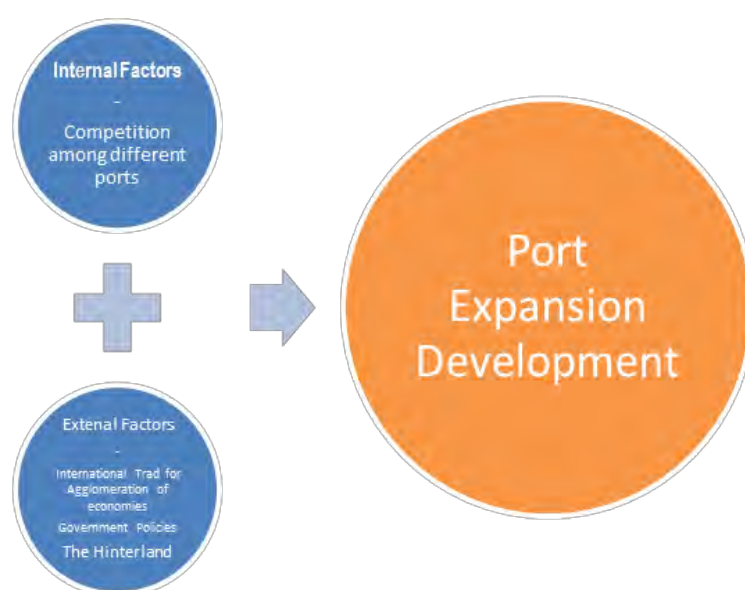
that not only delivers but also delivers at low cost when compared to other modes of transport (air, road and land) in a world in need of faster, realizable services at lower rates (FAL, 2012).

The modernization of ports form part of the globalization revolution and is the direct result of the forces and pressures from global economics to deliver goods and services in the networked global cities (Greis, 2004). Modernization of ports brings prosperity as well as problems (Weisbrod, 2004). They bring trade and wealth that strengthen the economies and gross domestic product of the country, but also bring social and environmental problems that result in conflict, uncontrollable road and rail congestion, high cost construction and maintenance of infrastructural landside, cost of dredging underwater channels, disposing of dredges sediments and most valuable land competition within the urban areas (Weisbrod, 2004).

### 2.3. The Internal and External Factors Influencing Port Expansion Development in the 21st Century

In order to forecast trends of expansion development of Port of Durban, several internal and external factors need to be examined (See Figure 1). Internal: Competition amongst different ports or competitiveness. External: International Trade for Agglomeration of Economies, Governmental Policies and the hinterland are factors that provide an understanding of forces behind the developments of ports in the international, national and local context. The factors also give a clear reflection of the trend that is happening around the world both in developed and developing countries.

**Figure 1: Relationship between Internal & External Factors and Port Expansion Developments**



Source: Researchers own figure, 2014

### **2.3.1 Competition amongst different ports or competitiveness (internal)**

Competition is the major factor that influences port expansion and development in the 21st century (Rondinelli, 2004:5 and Wu, 2011). Competition amongst ports is mainly to gain more freight than other ports (Rondinelli, 2004:5). Contained in “the competition among different ports”, is four crucial factors: Port efficiency, Logistics infrastructures, Effectiveness of information systems and Inland transportation and location of the port (Wu, 2011).

#### ***(a) Port Efficiency***

Port efficiency is an important factor in the competition between ports, meaning the speed combined with reliability of the port services is significant for a port in order to be advantageous to other competing ports. If the port lacks one of these factors it is automatically forced to upgrade in order to compete with neighbouring and international ports or other ports for goods and services. In terms of speed and reliability, it should be noted that clients nowadays demand lower costs, but also faster, more reliable and complete services, including full traceability of goods (not only port-to-port, but door-to-door) (FAL, 2012).

#### ***(b) Logistics Infrastructures***

In terms of logistic infrastructures, ports should have sufficient infrastructure that ensures good and sufficient facilities and equipment. Adequate berth, size of the terminal and container capacity within the port needs to be taken to consideration for a port in limiting heavy traffic and delays in the port area.

#### ***(c) Effectiveness of Information Systems***

Efficient information system turns out to be fundamental in industries worldwide. To ensure port management, the level of effectiveness of information system together with reliable security need to be at the highest level in order to make sure the production within the port is in operation. Furthermore information transport system assures efficiently and effectively, security and sustainability in shipping functionality (FAL, 2012).

#### ***(d) Inland Transportation and Location of the Port***

Well-developed and established inland transportation routines such as excellent roads and railways that connect to the port leads to higher efficiency, greater carbon efficiency and increase logistics efficiencies and results in lower costs throughout the logistics chain of



freights nearby hinterlands close to the ocean provide additional space for containers also play a crucial role in ports in terms of achieving sufficiency (Wu, 2011).

### **2.3.2 International Trade for Agglomeration of Economies**

Ports are the heart and soul for global coastal cities for global trade, and they are a comparative advantage in terms of economic development to other countries that do not possess a coastline. Contemporary, countries worldwide depend largely on investments and trade that eventually and unintentional create global interdependence (Wu, 2011). Considering the international trade cumulating rapidly and continuing expanding global economic integration, Daniela, (2013) argues that in the context of expanding globalization, port industry places a great emphasis on the correlation between the economic growth and the increase of passenger and freight transport. Suykens and McJunkin in Dolman and Ettinger (1990) cited in Arjunan, (2004:30) support this argument and emphasise that “ports are also good places for the provision of further services which add value to the products transported and thus help better to meet the increasing demands of trade”.

In addition, authors such as Tanenja et al, (2010) and Sequeira et al, (2012) support the modernisation of ports. They emphasise that port development and expansion of existing ports improve and expand freight-handling process to stimulate economics resulting to/or lower services costs, ease congestion, improve efficiency, and enable them to globally compete. And these are some of the forces behind the port expansion taking place worldwide. Goss, (1990) cited on Dekker *et al*, (2011) further support port development and highlights that usually these benefits are transferred from port down to the people at grassroots level, and lead to public goal of port investments, which is to increase producers’ surplus of those who exports and also increase the consumers’ surplus of those who consume the Imports. This argument is proven and is found in the study of dry ports in China (Beresford *et al* 2012). The same dry research reveals that dry ports in china begun as central part of trade facilitation in the past decade and these ports have succeeded in uplifting the regional and economic development of China. Beresford *et al* (2012) work furthermore reveals that the emergence of these offshore ports is mainly driven by industrial areas and the need to support rapidly growing container flows.

In contrast to above mentioned authors, van Ballegooyen and Diedericks, (2008) have chosen to recognise the channel through which the environment can be protected and social equity can be achieved other than only the economic development in port developments. Their argument is based on that development of optimal port expansion plans; principle requires the

establishment of an optimal expansion size, taking to consideration of the timeframe and place. They go on to highlight that the crucial problem becomes the appropriate location with suitable environment (less environmental impact) due to the ever growing demands for port expansion for additional handling capacity. Have now reached a level where conflicts with recreational, environment and people are affected by them.

### **2.3.3 Governmental Policies**

The attitude of the government is significant in a country's economy and plays a major role in the development of ports expansions. Wu, (2011:9-10) contend that the government restrictive policy can decrease the throughput of the port, while the introduction of the policies can encourage, it can also to help the shipping industry to develop. Lee, (1990) cited on Wu, (2011) argue that since the port is one of the basements of the national economics, the majority of the national and local governments are extensively considered in their policy plans. This basically means, the competition amongst different ports locally, nationally and internationally is considered as part of the competition of policies and government investment and policy support increase competitiveness of the port (Wu, 2011). However the policy of sustainable development or sustainability supportive policies are being implemented to ease the environment and social equity of transportation to support the competition of the port (Kaiser *et al*, 2013).

This argument is proven and is found in the work of (Medda and Carbonaro 2007) where they found out Barcelona Process Policy Framework(Euro-Mediterranean partnership) that consist of three broad policy partnership areas; political and security partnership<sup>4</sup>, an economic and financial partnership and lastly a social, cultural and human partnership was the backbone for ongoing development of modern Mediterranean shipping activity allows one to outline strategies for future development of the basin and main reason for the upsurge in development and growth of transshipment ports within the area (Medda and Carbonaro. 2007).

### **2.3.4 The Hinterland**

The hinterland is inland areas where freight are temporary stored and are waiting to be imported or exported via the port. Hinterlands and the ports are interlinked with one another, meaning

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<sup>4</sup> a political and security partnership aimed at reinforcing the political and security dialogue among the partners; an economic and financial partnership aimed at creating an 'area of shared prosperity' through the progressive establishment of a free-trade area by 2010, and the strengthening of economic cooperation and financial assistance; and a social, cultural and human partnership aimed at encouraging understanding between cultures and exchanges between civil societies.

ports are reflected by the changing circumstances of the hinterland and as well as the functionality of the port is related to the development of hinterland (Wu, 2011). As mentioned above the relationship between the hinterland and the port is interdependent and interactive. In the case where one economy regardless of whom is prosperous it will have deep ties with other areas (Wu, 2011). Basically the development of the hinterland leads to the expansion of the port scale and improves the port structure. Visa versa the development of the port create positive conditions for the hinterland. With the growing capacity of the port, the area of the hinterland can spread. The scale of the regional economy, the vigour of the economy development and the area of the hinterland decide the development of the port (Wu, 2011). Therefore this means that the regional economics has a significant role in port developments.

## **2.4 Public Participation and Planning**

This section presents the key theme that underpins this research. The research discusses public participation in relation to port development planning in the field of urban planning internationally and both prior to and in the democratic era in South Africa. The field of urban planning and development both in theory and practice within the 21st century has been subjugated by the uncertainty and inconsistency when it is coming to knowledge of participation (Innes and Booher, 2000; Everatt et al, 2010; Pacione, 2014). The field of Planning in theory and practice “both struggle with dilemmas that make the problems seem insoluble, such as the conflict between the individual and collective interest or between the ideal of democracy and the reality that many voices are never heard” (Inner and Booher, 2004:419)<sup>5</sup>

Pacione, (2014:33) defines “public participation as a political principle and practice that seeks and facilitates the involvement of citizens potentially affected by, or interested in a decision”. Involvement and inclusion is guided by the principles of public participation that protects affected citizens by giving them rights; firstly to be included from the beginning right through the final stage, secondly to be involved in all decision taken thus their contribution influence the final decision (Barlow 1995 in Pacione, 2014:33). This in fact is related to the definition of one of the gurus in the field of urban planning Arnstein, (1969) who believed that participation is a channel for “the redistribution of power that enables the have-not citizens...to be deliberately included in the future”. Arnstein, (1969) argued that by freely allowing the public to part in the development notwithstanding of affected or not, benefiting or not, give better

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<sup>5</sup>Inner and Booher, (2000) and Inner and Booher, (2004) are two different articles

chances of the development to be successful (André, *et al*, 2006; IAPP and IAP2, 2007). Standard definition of public participation within the paradigm of planning is regarded as the means of people empowerment and as the fundamental component for local democracy (Everatt *et al*, 2010; Pacione, 2014; Inner and Booher, 2004). Essentially later in this research we shall be able to discover if this statement is genuine or not as this research examines the degree of public participation in the developmental of the Back of Port in Durban.

Blackstock and Richards (2007) identify four common justifications uses of public participation in planning and development projects. Public participation primarily improves the process of decision making, this is could be in a form of indigenous knowledge from the locals when deciding on variety of options on the table. It also builds genuine and unbiased decision, taking to account that all relevant stakeholder needs and preferences, whether affected or not affected are taken to consideration. Thirdly, it improves decision making in practical terms because lay and local knowledge may complement bureaucratic knowledge. Lastly public participation initiate fairness and justice throughout the development projects.

However in reality this is not an entirely the case, it is a complete contradictory. Common authors such as Cooke and Kothari, (2001); Innes and Booher, (2000); Innes and Booher, (2004) observe these contradictories and point out flaws in the justification uses for public participation in development.

Inner and Booher (2004) argue that the inclusion of the citizen in developmental practice is almost invisible; it is just a stipulated requirements in a public decision process that planners and developers do because the law requires it. Cooke and Kothari, (2001) argue that the failure in practices to incorporate citizen in development projects is not solely subjected to failure, biasness and denial of planners and developers to encourage and enforce citizen participation however is also the failure and flaw in traditional methods and techniques of public participation. Innes and Booher, (2000) argue that these “traditional methods and techniques of public participation such as public hearings, written public comments do not work rather they cause hunger, increase social distrust, reinforcing privileges and one way communication.

Although there are other public participation methods and techniques like citizen commissions that specifically specialise on leading citizens and designated members in the community; and that have favourable outcomes compared to standard public participation methods when it comes to making decisions as well as members making informed decisions (Innes and Booher, 2000). Innes and Booher, (2000) argue that these groups are not fully representative of the

people nor the community interest. Innes and Booher, (2000) further argue that these groups sometimes alienate poorer groups who are not political affiliated with certain parties, unknown and does not hold any status within the community and those who reside outside the boundary of the area.

In the case of participation in the United States of America “the traditional methods of public participation in government decision making simply do not work (Innes and Booher, 2000). Traditional methods tend not to achieve genuine participation in planning or decisions; and do not provide significant information to public officials that makes a difference to their actions; they do not satisfy members of the public that they are being heard; they do not improve the decisions that agencies and public officials make; and they do not represent a broad spectrum of the public. Worse yet, they often antagonize the members of the public who do try to work through these methods”. Inner and Booher, (2000:2). Laurain, (2009) supports Inner and Booher’s (2000) argument that in the United States, participatory approaches and procedures barely works whether accomplishment means reaching can senses, social learning, building social capital or making decisions. Arnstein (1969) argued that public participation will continue to fail to achieve the intended outcome because the population is excluded; there is usually one sided communication and this communication favour certain interest. Practical examples in countries such as in Europe and United State of America (Innes and Booher, (2000);

- Public hearing at local level are only attended by keen beneficiaries, occasional organized groups, die hard city council, commission watchers and affected people on matters that affect them personally.
- Prescribed procedures of review and comments such as the case of social and environmental impact reviews, the public notices of planning proposals and land development applications on public areas end up with comments coming from all directions that the agency may or may not respond to in any substantive way.
- Planning agencies at their own time does what it chooses, which in most cases favours what they intend to do, what is sad is that the public and citizens are mostly unaware of whether their opinions have even been considered.
- Citizen and commission do not mix, they are required to stand in different places.

- Citizen are not allowed to speak on designed topics which is defined by the agenda, the methods deny interchange although questions are allowed but occasionally.
- Local representatives such as local leaders are considered the same as other community members.

Another practical example of inefficient and ineffectiveness public participation based on traditional methods of public participation is the case of Oil Shale Mining and Local Inhabitants in Maidla. Based on Kiisel (2013) findings on his study indicate that local citizen of Maidla rural municipality of about 332 Km<sup>2</sup>, 900 inhabitants in Ida-Virumaa country where the inhabitants were not involved or took part in the planning of the mine during the Soviet period that ended up affecting the community. This led to local citizens to protest against mine development. Similar problem occurred on AbouAssi *et al's*, (2013) study on the Lebanese public sector where he found that even though citizen participation in the public sector was practiced, development was ineffective or failed because project officials had a low level of shared decision authority and sometimes lacked any understanding of what it meant.

The inclusion of participation in planning and development has however received mixed reaction. This is the case because while the majority of authors critique traditional methods of planning in practical development. Other authors such Brabham, (2009) argue for traditional public participation methods because these methods have worked well in the past and no method is flawless. Rather than only critiquing public participation other authors have proposed new ways to conceptualise participation and engaging the public in planning and this model of participation “shall be built on collaboration”. This means that participation must be seen as a joint and should integrate not only the local citizens but also organised interest groups, profit and non-profit institutions, planners and public administrators in a shared framework where all are working together to influence one another and all are acting independently in the world as well (Inner and Booher, 2004:442). Inner and Booher, (2004:442) emphasis that “it is not a one way communication from citizens to government, or government to citizens, but it is a multi-dimensional model where communication, learning and action are joined together and where the polity, interests and citizenry co-evolve”.

## **2.5 Port Development and Conflict of Interest amongst Stakeholders**

The majority of researches and planners have mainly focused on economic development, environment and globalization in attempt to understand the effect and global trends of port expansion developments. Very few authors, like Selsky, and Memon (1997), Coppens, (2014),

Sequeira and de Carvalho, (2012), Hoyle, (2001), Taneja et al, (2010), have attempted to understand the conflicting stakeholders aims and objective in port expansion developments, as well as understanding port conflicts.

Holyle, (2001) observed that almost every country or city worldwide with water frontage are expanding and upgrading their ports and waterfront, given that they have financial means to do so. Ports being part of the coastal zone, where there is enormous pressure from diverse stakeholders. Sustainability forces from stakeholders' impact on the management of urban ports (Hershman 1988, Hershman and Bittner 1988) in (Selsky, and Memon, 1997). Hershman (1988) cited on Selsky and Memon, (1997) reveals that these forces are sources of community conflict; they kindle especially when the management of a port has a strong commercial orientation, as is usually the case. As a result these spatial projects (expanding and upgrading of the ports and waterfronts) bring about profound public dispute (Coppen, 2014).

Coppen, (2014) goes in and highlight that spatial projects in most cases are contested, and contested planning projects evolve into conflict, not just conflict but intractable conflict. Gask, (1984:11) cited on Sequeira and de Carvalho (2012:118) defines conflict as “the perception on the part of a channel member that its goal attainment is being impeded by another, with stress or tension as the result”. Thomas, (1992) cited in Coppen, (2014) state that within a conflict literature, a distinction has to be made between three conflict types contingent on the character of the conflict issues involved. There are three types of conflict; value/normative conflicts, perception conflicts and interest conflicts (Coppen, 2014). Value/normative conflicts basically revolve around ethics, substantial issues such as religions, moral values, world views, rights, respect and identity. Perception conflicts are controversies that mainly revolve around differences over empirical or factual issues between partners who share a common goal. Lastly Moore (2003:64) cited in Coppen, (2014:106) defines “interest conflicts as a condition of perceived or actual competition over substantive interests” which is the results, when the goals in a conflict are denial (Coppen, 2014). Therefore from the typologies of conflict stated above, in port development expansion cases, conflict represents a conflict of interest.

### **2.5.1 Conflicting Goals of Planning**

Drawing from the history of planning, it can be said that planning together with planners had always been confronted by the conflict of stakeholders' individual interests and conflict between goals of planning (Campbell 1996). Until this day, contemporary planners are still encountering and confronted by a huge task of resolving the conflict, with the goal of keeping

fairness between the stakeholders while attaining balance between all three fundamental goals (social justice, environmental protection and economic development) in the quest of achieving sustainable development, which has become the main focus across all spheres of profession (Campbell 1996).

Jukuda, (2010) argues that in the broader sense the main conflicts are caused /arise from competition amongst the two world views, which are the ecological and expansionist worldviews. In this research ecological perspective is represented by societal/environmentalist and expansionist is represented by the economist. The proponents of (economist) firms are those who consider and believe in economic development, hold and embrace the expansionist viewpoint, whereas the proponents of environment and social equity (environmentalist and societal) are those who consider and believe in environmental protection and social equity, hold and embrace the ecological viewpoint. In port expansions the conflict can be looked or further broken down to private interest versus public interest. In this instance private is the expansionist and public is the ecology.

In spite of the mandatory role of public participation in the formulation of spatial developments plans being the major focus in number of recent studies (Hoyle 2001). Van Gool, (2003) and Dinhma's (2005) cited in (Coppen, 2014) has heavily criticised public participation as the major factor that influence conflict in spatial developments. Van Gool, (2003) based on his panel survey argue that more than fifty percent of the urban public official and politicians consider participation as core factor that leads to even more conflict between the public citizen and the government. Dinhma's 2005 in (Coppen, 2014) supports this argument. In his study on participation in the United Kingdom Dinham found that participative collaborative processes also lead to further conflicts and further argues that participative processes are less than public stage for rumour mongering and backbiting.

In contrast to the above focus on public participation is a factor that creates conflict in port development, Keating (1991), Ashton, et al, (1994), Breen and Rigby (1994). On the other hand Hasson and Ley (1994) highlight the role of public participation as essential in the formulation of spatial project plans and policies and label community groups as creators of source of ideas as they influence the pattern and change in any kind of development (Hoyle, (2001).

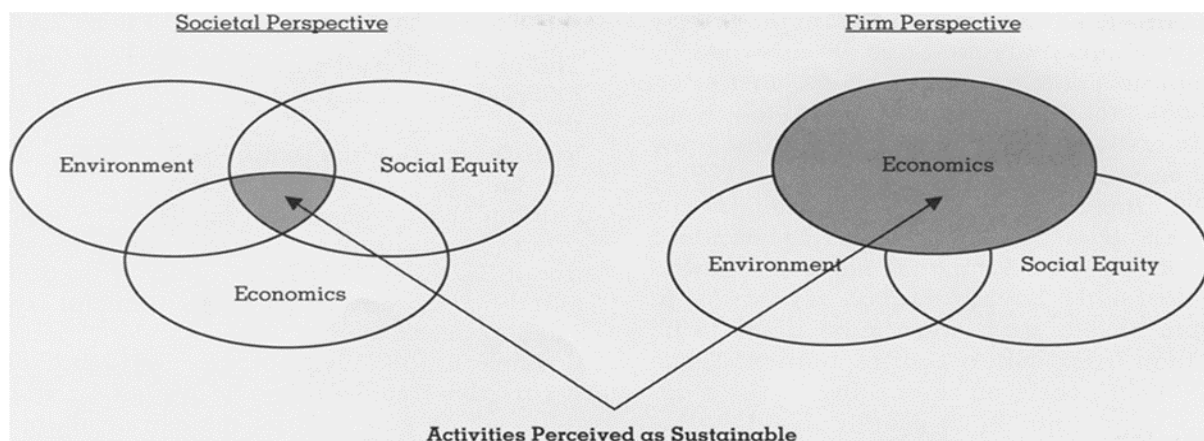


### 2.5.2 Stakeholder's Conflict of Interests

Conflict amongst stakeholders can be categorised into two different meanings, the societal and environmentalist perspective versus economist/firms Perspective. Societal and environmentalist defines and view sustainable development as the intersection of the economic, social-equity, and environmental principles (Bansal, 2002:124). Whereas the economist perspective (consist of port developers, business and firms) have a completely different interpretation, they define sustainable development as corporate sustainable, which is embedded in neoclassical economies. Unlike societal and environmentalist perspective, they only consider sustainable competitive advantage (Bansal, 2002).

Figure (2) below depicts how both societal/environmentalist and economist deem sustainable development. It also reveals that society and environmental view the majority of firms/port development/expansion activities not sustainable. In order to assist economists to adopt and adapt the environmental aspects of sustainable development, environmentalist have developed and proposed a variety of management control systems such as environmental impact studies, and environmental management systems (Bansal, 2002).

**Figure 2: Difference in Perspective associated with Sustainable Development**



Source: Bansal, (2002)

### 2.6 Public Participation and Port Development: South African Context

While international literature speak of globalization, particularly economic globalization as a major force for spatial project development taking place worldwide, South African academics also speak of globalization in relation to economic development for promoting local economic development, restructuring and spatial development taking place in post 1994 (Rogerson, 2000, Bond, 2002, Harrison, 2005). Ayenagbo (2012) argues that globalization is problematic and African countries have not benefited enormously from this phenomenon due to problems

associated with it, South Africa represents an exception to other African countries (Rogerson, 2000). With a political climate created post 1994 and the shift towards a more outward-oriented macro-economic policy, South Africa is rapidly integrating into an increasingly globalised economy (Harrison, 2005). And there is clear evidence of trends that are being transmitted to South African cities such as port expansions developments, shopping malls, waterfront developments, convention centres and office parks (Harrison 2005).

Before 1994 planning practice in South Africa was dominantly shaped by a history embedded in inequalities, however, the situation changed when South Africa became a democratic state. Therefore it is highly imperative to analyse and consider how South Africa has formulated and is currently implementing its integrated development planning and how public participation as a major component of the Integrated Development Plan (IDP) is being encouraged and implemented, how local people are participating in the process (Van Niekerk, 2014). Public participation in the South African context is in line with the post 1994 planning legislation which promotes integrated and sustainable development. This includes bottom up approaches and people-driven processes that aim to involve and empower the community through the Reconstruction and Development Program (South Africa, 1994).

South Africa has therefore committed at a national level to implement Agenda 21 through their local authorities (South Africa, 2000). At local level legislation has also been introduced through the Municipal Systems Act 2000 so that integrated development planning becomes a local government function and that the local government is responsible for developing an Integrated Development Plan (IDP) for the local people, areas at the grassroots level. The IDP is embedded within the local municipality and it covers a period of 5 years. The IDP planning process promotes an integrated, participatory style, wherein the community must be legally consulted. The main reason for consultation is to provide the community with an opportunity to voice their opinions on issues affecting them directly to encourage community involvement, to establish a two way communication between the government and the community and finally monitor the planning and implementation process of the IDP.

Theorem *et al*, (2007:1) argue that actors such as politicians, practitioners and academics sing in one voice and highly consider the importance of participation of local citizens in connection to good local governance and sustainable development. Defenders of community public participation in South Africa such as McEwan, (2002:509); Bond, (2002) Lizarralde and Massyn, (2008) argue for the need to bring government to the people. Lizarralde and Massyn,

(2008:3) argue that participation in the South African context is mainly viewed to be closely related to empowering the historically marginalized communities and therefore lead to long-term development. However, in practice community participation is presented alternatively as the end, the means and the indicator of developmental objectives. It is seen, for example, as an important indicator to assess the performance of relocation projects (Viratkapan & Perera, 2006 in Lizarralde, and Massyn, 2008).

Lizarralde, and Massyn, (2008) is convinced that public participation in South Africa still enjoy a high level of support across various sectors. However other authors have observed that its practice is fraught with conceptual and practical difficulties (Emmett 2000). Implementing public participation in South Africa has, however, proved to be a serious challenge. This related to factors such as high level of inequality poverty, language barrier, illiteracy, poor public transport, patriarchal social structures, and spatial fragmentation that hinder the implementation of public participation development programs (Theorem *et al*, 2007:1). Emmett, (2000) further highlights the case where planners and developers approach poor communities; and bring with them promises of resources. Emmett, (2000) is convinced that it is one of the reasons that raises the desire of community to capture these resources for their own personal use more than the desire to benefits the community and it also only the reason why community agree at the first place to participate in the projects. For Lizarralde, and Massyn, (2008:3) and Emmett, (2000:501) there are various challenges and barriers related to participation of citizen such as; insufficient resources (social and material), end-benefits of local communities in return for participating in projects, fragmentation of many poor communities and heterogeneity.

While public participation has received mixed reaction in South Africa, there are authors who recognise that South African urban planning principles have included community integration, participatory democracy, capacity building and self-reliance (Williams 2000). For Williams (2000) this new development of new principles give support to community based decision making.

## **2.7 Case Studies: Port Expansions**

The international examples selected illustrate port expansion development in the 21st century. Well known ports such as Rotterdam, Singapore and Chinese port are not considered in this study because they are significantly huge when compared to Port of Durban. The port expansion development examples selected in this research are similar to the Port of Durban in

terms of the following (see Table 3): Firstly it's the location, they are all located on estuaries within major cities that have developed around the port and they have industrial hinterland nearby. Secondly it is the lack of space, they are all confronted by the insufficient space for expansion and growth. Thirdly it is the capability; they all handle similar quantities of containers. Lastly is the involvement of public participation in the initial/construction phase of these ports. These two case studies show lack of public participation. One depicts the success in implementing public participation in port development plans. Table below shows the capacities of each of these (Melbourne, Vancouver, and Sydney/Botany) ports can handle in relation to the Port of Durban;

**Table 3: Quantities of Containers handled by ports**

Port	Cargo Category	TEUs ('000)	Tons
<b>Durban</b>	General Cargo	1,955	23,542,152
	Dry Bulk		6,631,173
	Liquid Bulk		24,272,669
<b>Melbourne</b>	General Cargo	1,930	22,045,400
	Dry Bulk		1,306,600
	Liquid Bulk		4,448,000
<b>Vancouver</b>	General Cargo	2,140	46,779,047
	Dry Bulk		60,174,111
	Liquid Bulk		8,346,842
<b>Sydney</b>	General Cargo	1,445	12,693,425
	Dry Bulk		1,309,427
	Liquid Bulk		12,720,148

Source: LAP and LUMS, 2008

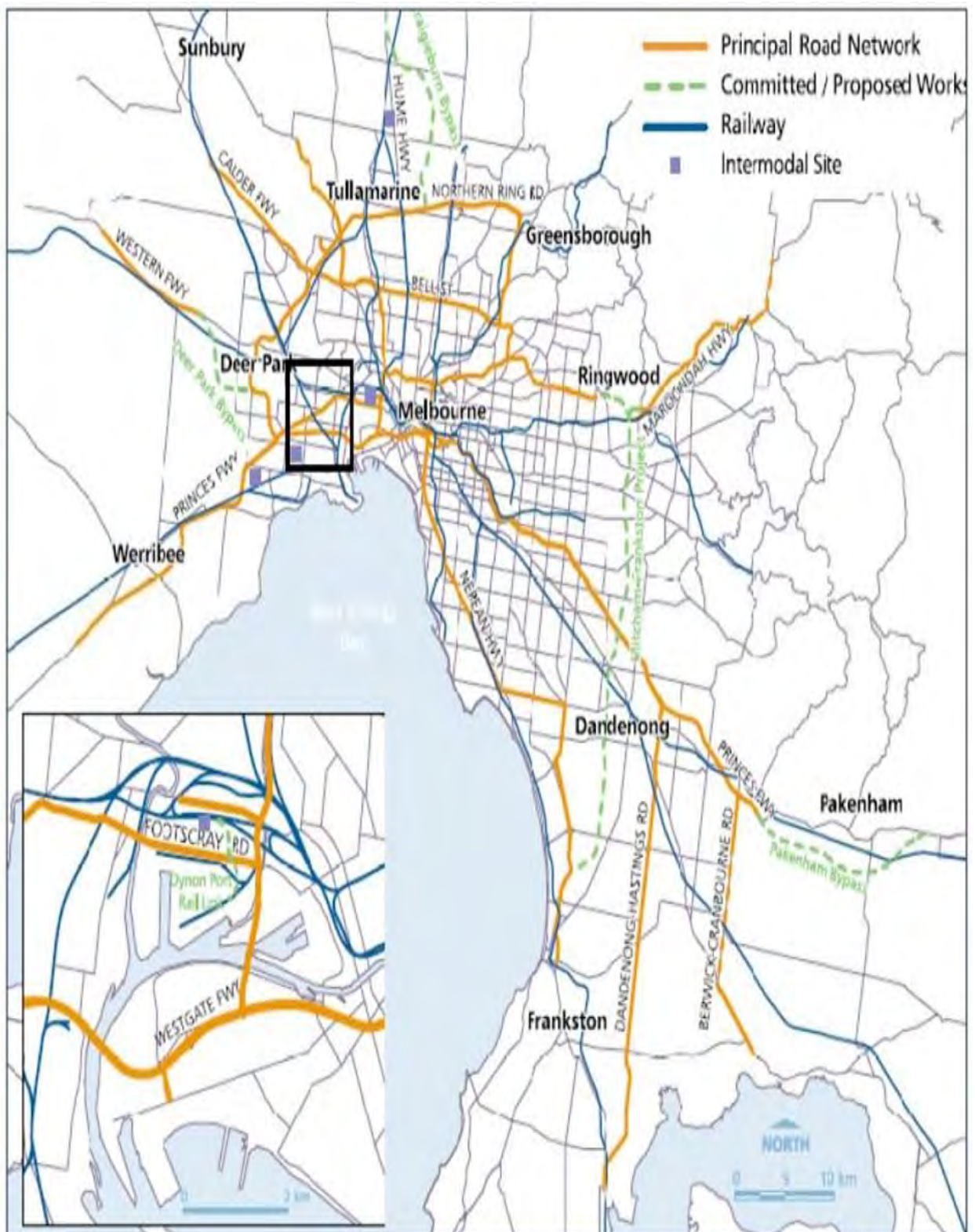
### **2.7.1 Port of Melbourne**

The Port of Melbourne is Australia's largest and busiest container port, handling more than a third of the nation's container trade (LAP & LUMS 2008). Approximately 2.5 million containers are moved through the port with an average of 6, 800 container each day (Port of Melbourne, 2012). The port is located on the south-east of Australia and it is Australia's main trade getaway linking to surrounding areas such manufacturing agriculture, retail and other industries. Map 1; depicts the location and city-port relationship of port of Melbourne.

Similarly to other major port-cities worldwide, Port of Melbourne is currently faced by several challenges in terms of capacity and efficiency. Consequently, the Port of Melbourne is redeveloping and expanding the port to meet the increasing trade demand (Port of Melbourne, 2012). The intention and objective of the Port of Melbourne are to; firstly, expand the Webb Dock capability to an international container terminal handling at least to one million

containers per year (Port of Melbourne, 2012). Secondly, to create accessibility between Webb Dock and nearby areas and major roads such the M1 West Gate Freeway taking Port traffic off the local roads (Port of Melbourne, 2012). Map 2 and Map 3 below shows the existing and proposed planned uses for the Port of Melbourne.

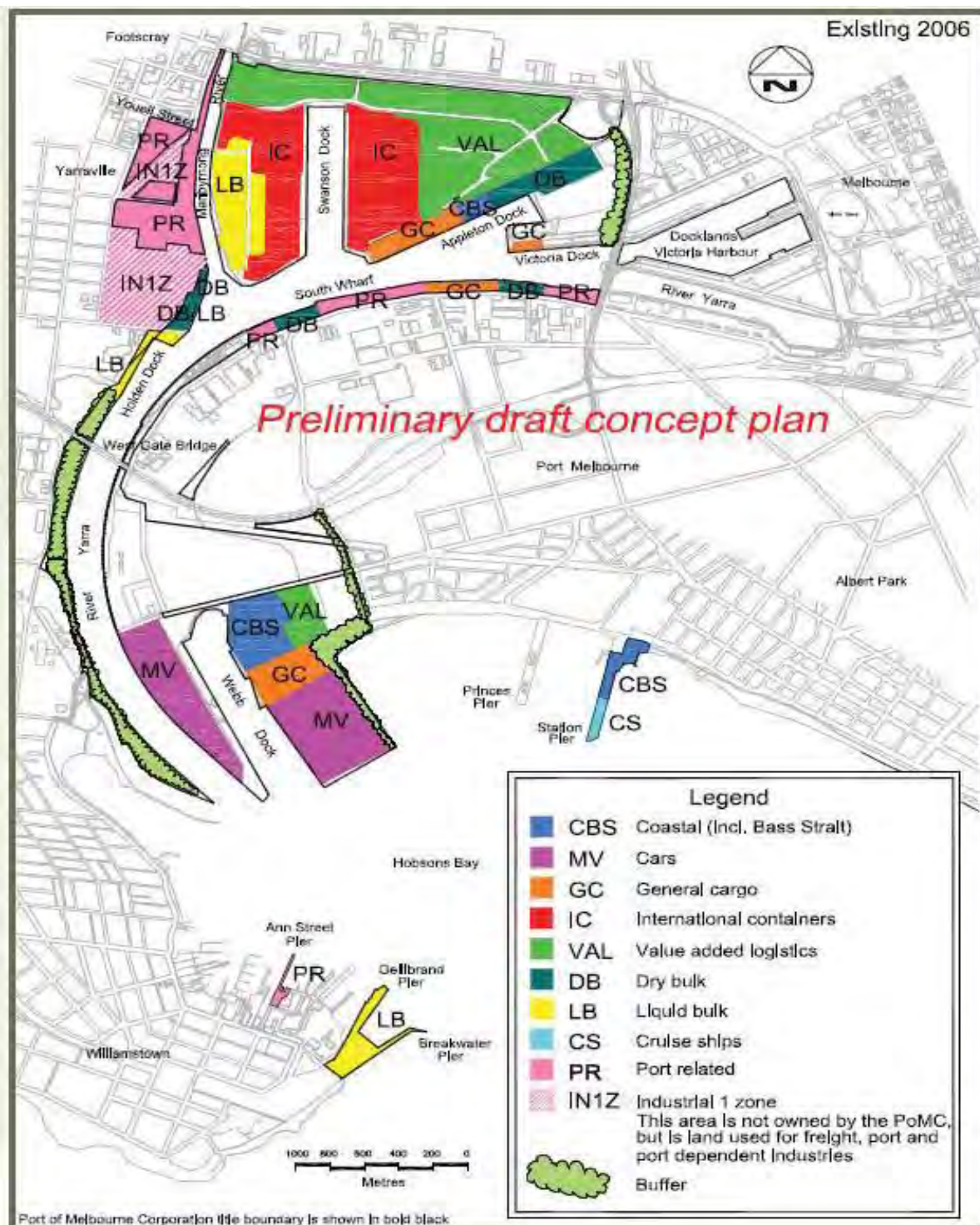
*Map 1: Port of Melbourne*



Source: (LAP & LUMS 2008).

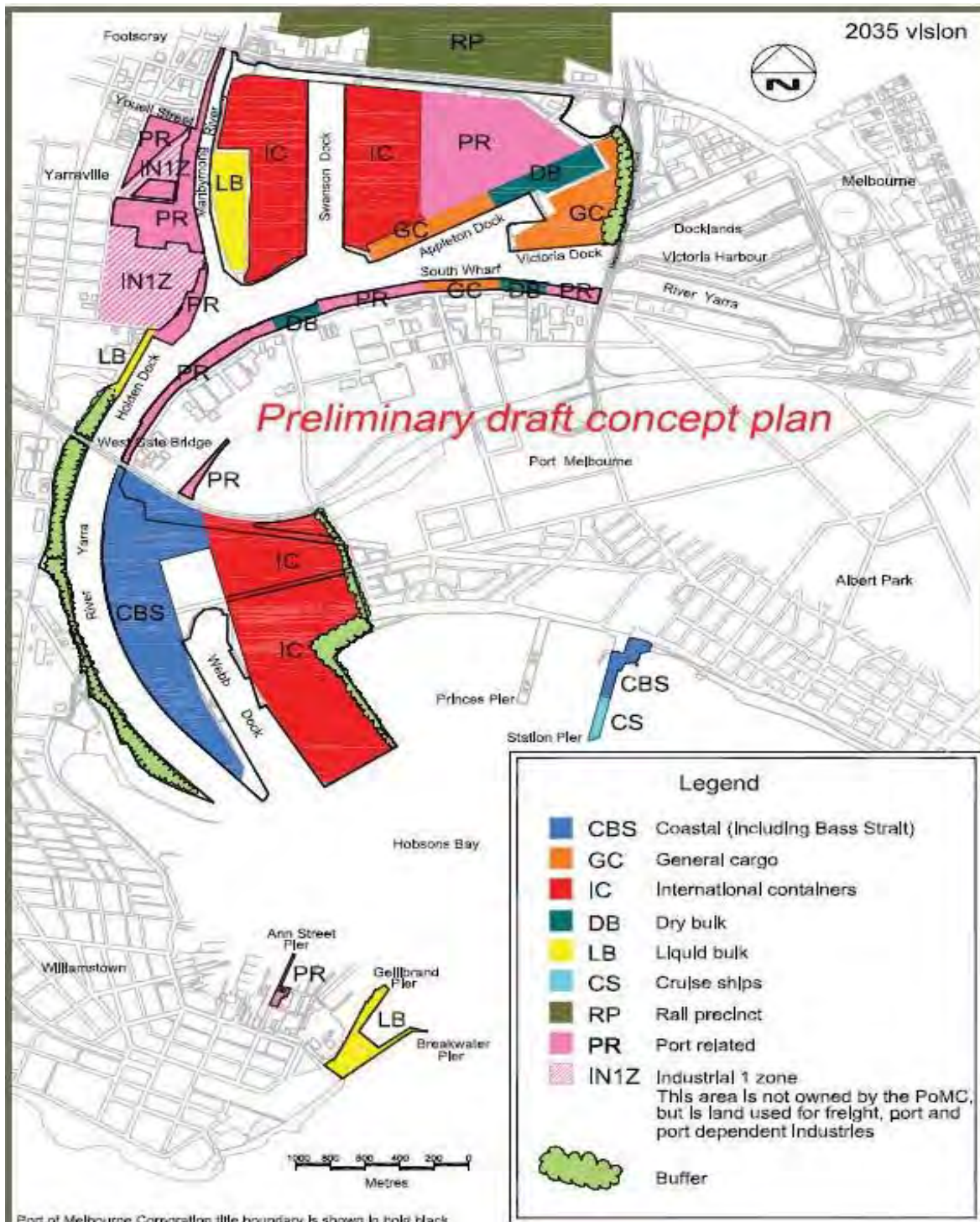


**Map 2: Existing Uses of Port of Melbourne**



Source: (LAP & LUMS 2008).

**Map 3: Proposed Planned Uses for the Port of Melbourne**



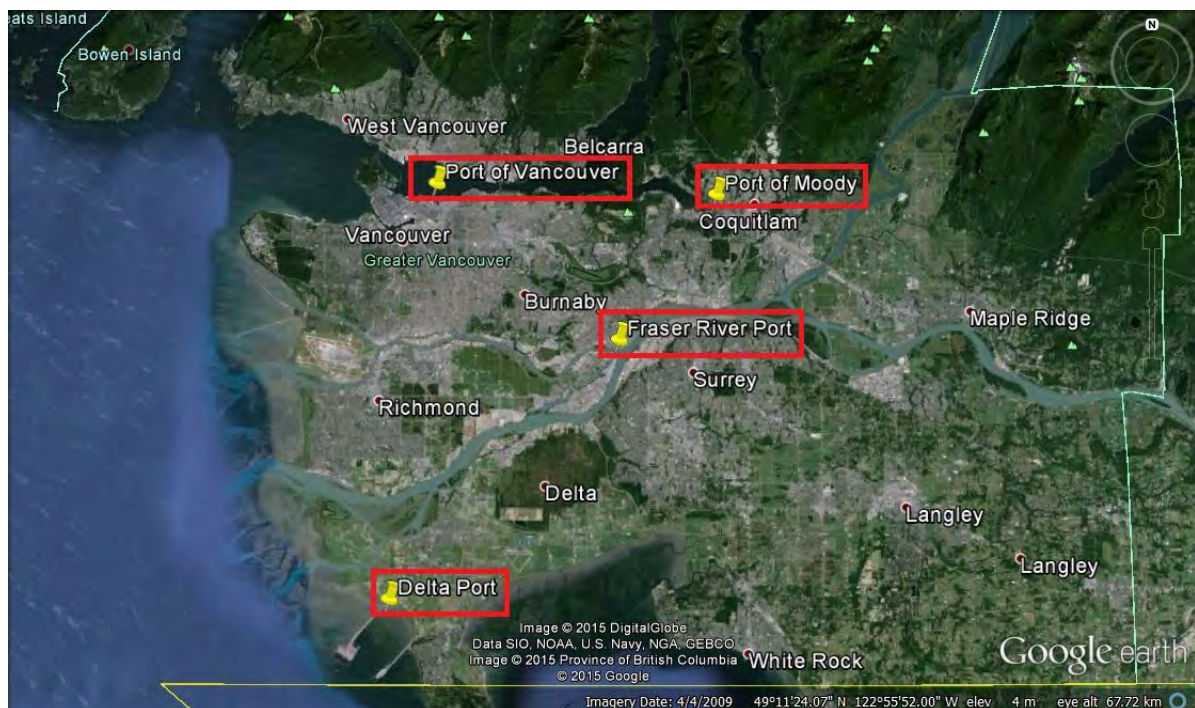


In spite of praise from the Australian government and economists around the world of the benefits and opportunities the development of the port can bring, Dowling, (2014) points out flaws within the Port of Melbourne expansion development plan. These flaws are pointed out by the Port People Inc., which is the community group within the port of Melbourne and Garden city. The argument is on the level of consultation; that there has been a non-existence of transparency and involvement of the community within the Port of Melbourne expansion plan in the consultation processes” (Dowling, 2014). Port People Inc. firstly, is concerned a huge increase in truck traffic, noise and flooding lights from the expansion of the port. Second, it is concerned with the traffic modelling that does not consider cumulative impacts of the fisherman’s Bend and Urban Renewal plan that is expected to add 80,000 residents to the areas in 30 to 50 years (Dowling, 2014).

### 2.7.2 Port of Vancouver

Port of Vancouver is the busiest port in North America. Port of Vancouver is located on the west coast of Canada and has four ports (Port of Vancouver, Deltaport, Fraser River Port, and Port Moody) situated in different locations within the city of Canada (LAP & LUMS 2008). See Map 4 below;

**Map 4: Greater Vancouver Region Showing Container Terminal Locations**



Source: Google Earth (2015)

The original Port of Vancouver has been functional since 1864, while Fraser River Port started functioning in 1960. Deltaport followed in the 1960s being an export facility for coal with container in added later in 1997 (LAP & LUMS 2008). Canada is a developed country hence all its ports have excellent infrastructure already in place to handle post panamax container ships. However and unfortunately there has been a demand for land around the port for other types of uses, as the city continues to grow surrounding each of the ports (LAP & LUMS 2008).

Over the years Port of Vancouver, particularly the Fraser River Port has seen an increase in the number of exports of thermal coal. In the year 2013 the port saw an increase of 10 million metric tonnes (B.C, 2014). The increase in export numbers of thermal coal has seen the Vancouver consider a proposal from Fraser Surret Dock to handle more coal of approximately 8 million metric tonnes per year (B.C, 2014). Notwithstanding the rest of the world has stopped burning and the use of coal to generate electricity because it contributes to pollution there are now alternative energy sources available to generate electricity such as wind, solar and hydro power. Canada does not use coal for burning nor generating electricity rather, thus Delta port one of oldest ports is used to export metallurgical coal for steelmaking (B.C, 2014).

The proposal will see coal arrive by train from the United States of America through the community of North Delta, Crescent Beach, Panorama Ridge, Ocean Park and White Rock, only after then the coal can be transferred to Fraser Surrey Docks. In additional the project will also need additional 160 to 320 train deliveries and 320 to 640 more barge movement every year (B.C, 2014).

Even though the provincial government and Port Metro Vancouver has given a green light to the new coal export project in the Fraser Surrey Dock, there has been opposition from the community groups, faith leaders and unions. According to B.C (2014) the opposition's argue that the "the transhipment project could give up 8 million tonnes of thermal coal mined in the United State a free ride through B.C communities to coal-burning power plants in China and other Asian countries". The opposition further argue that this has been an ongoing habit of the Provincial Government and Port Metro Vancouver of making closed door decisions and ignoring public concerns (B.C, 2014). Since year 2008 both the Port Developers and the provincial government have ignored and allowed the coal export to grow every year without any an independent body studying local and global health, environment or climate impacts and without a single public hearing (B.C, 2014).

### 2.7.3 Port of Sydney

Sydney port is found on the east coastline of New South Wales in Australia and serves the immediate hinterland (LAP & LUMS, 2008). Currently the port of Sydney handles approximately 1.6 million TEU per year, which is slightly below that of Port of Durban (LAP & LUMS, 2008). It has been observed that the city surrounding the port of Sydney has grown to a point where there is no available and adequate space for Sydney port to grow (in time where the port needs to be expanded). As a result of insufficient space around to expand the port of Sydney, the expansion development was redirected to a nearby brother port, Port of Botany (LAP & LUMS, 2008). Botany port is located within Botany Bay and is approximately 12 kilometres from Sydney city (SIA report, 2010). Botany Bay is the main center of the state's maritime and transport activity accommodating crude oil importing and container port. See Map 5 below.

**Map 5: Sydney and Botany Ports**



Bing Maps (2014)

The SIA (2010) reports that Sydney Ports Master Port Plan, planned additional infrastructures in the port of Botany to, maintain the growing container trade in the city of Sydney in the upcoming two and three decades, meet local and international consumer demand and population increase the Sydney. Based on environmental impact assessment conducted in 2001

for the proposed port expansion it was found that there was a potential social impact on communities living surrounding the port of Botany. The assessment indicated four levels of potentially affected communities;

- People that use Foreshore beach and recreational activities
- People who work and live in close proximity to the proposed expansion
- Randwick City local government areas (LGAs) and Botany City
- Local community of Sydney and the metropolitan of Sydney

### **Public participation: Community Consultation at Port Botany**

Social impact assessment conducted on April 2002 reveals that a number of consultation activities were conducted to encourage local community and stakeholder participation and assist with identifying key social impacts. These activities include (SIA, 2010:19):

- Briefing of the main stakeholders
- Community members meetings and evenings community information
- Focus groups meeting
- Planning meetings with the community and government
- Through the website of Sydney port and Sydney port events
- Public comments through toll free numbers, post, and emails
- Workshops in public on spaces
- Distribution of newsletters

Some of the community social issues identified by the community (SIA, 2010-19:20) included:

- Visual, noise, cumulative, economic, recreational and traffic impacts
- Flooding of property, loss of property values
- Effect on archaeology, heritage, freight rail line
- Hazard and risk, and even on port employments

## Community views: Key Issues Raised by the Community in Botany

For this research a sample of five comments were taken (EIA, 2003:6-8):

ISSUES	COMMENTS
Community consultation	Some community members asked for details about consultation activities. There were a range of comments questioning whether the views of the community would be heard by the State Government.
Social impacts	The impact of the proposal on the amenity of the community was raised by some residents. This included the issue of overdevelopment in the area and health risks.
Statutory planning	Some people had questions about how the environmental impact statement fitted in with other pieces of legislation, or about the requirements of the environmental impact statement.
Project needs and objectives	The view was expressed that the port is not currently being used to full capacity, and that an expansion is not needed.
Terrestrial flora and fauna	How the proposal may affect the flora and fauna in the Foreshore Beach dunes and other areas near the port was raised.

At the end, the consultation strategy of both environmental and social impact assessment was done to encourage community involvement and foster interaction between the community and the Port of Botany Project major stakeholders. According to the EIA, (2003:1) the overall rationale process of involving the community was to ensure a clear, two-way communication by listening, recording and responding to issues as they arose. Specific objectives were to (EIA, 2003:1):

- Disseminate information on the proposed Port Botany Expansion and the Social and Environments Assessments process to key stakeholders and the surrounding community;
- Increase community and stakeholder awareness and understanding of the project, the EIA, SIA and the associated planning process;

- Ensure stakeholders and members of the community were provided with opportunities through the consultation process to communicate feedback and identify issues so that they could be included in the development proposal;
- Identify community and stakeholder issues and views;
- Facilitate information exchange between the study team and the community to enable joint understanding of issues raised; and
- Conform to relevant New South Wales (NSW) and Commonwealth legislation.

## 2.8 Summary

This chapter identified the driving forces of port development in the 21st century, as well as its impacts. It is evident that both internal and external factors such as competition amongst ports, international trade for agglomeration of economies, government policies and the hinterlands are some of the major forces that drive for developmental of port trending around the world that could also be linked to their “parent” force which is globalisation and particularly economic globalization. Problems of congestion, congestion and security of employment and economic development were identified as the major impacts on environment, social equity and economic development (sustainable development) of ports. According to Weisbrod, (2004) modernization of ports brings prosperity as well as problems. They bring trade and wealth that strengthen the economies and gross domestic product of the country, but also bring social and environmental problems that result in conflict, uncontrollable road and rail congestion, high cost construction and maintenance of infrastructural landside, cost of dredging underwater channels, disposing of dredges sediments and most valuable land competition within the urban areas (Weisbrod, 2004).

It can be observed that in a broader sense and from an international perspective, the main conflict arises from competition among the two world views, which are the ecological and expansionist worldviews. It has also been revealed that conflict results from sustainable development, which is labelled by Campbell as “conflicting goals of planning”. Campbell, (1996) says that there are key characteristics that perpetuate conflict between the residents and developers in development projects. Campbell, (1996:1) further argues that conflict can be traced back to historic core of planning and these are same elements in the contemporary

battles. Conflicts not only embedded in the history of planning and manifested in the contested landscapes, but they are also reflected in today's development policies which favour economic development over environmental protection and social equity Harrison *et al*, 2008 in Jukuda, 2010).

In the development of ports, dispute has been mainly caused by the “conflict of interest”, which arises from sustainable forces from stakeholders' impact on the management of ports. These forces are sources of community conflict; they kindle especially when the management of a port has a strong commercial orientation, as is usually the case (Hershman 1988, Hershman and Bittner 1988) in (Selsky, and Memon, 1997. From the typologies of conflict stated above, in port development expansion cases conflict represent a conflict of interest. By analysing conflicting goals of planning, the researcher is convinced that ecological/societal perspective is more appropriate than economic perspective because it has limitations in its ability sustain and support human beings as well as the natural environment.

Again based on reviewed information it has been argued by several authors that traditional methods and techniques of public participation such as public hearings, written public comments do not work rather they cause hunger, increase social distrust, reinforcing privileges and one way communication.(Cooke and Kothari, 2001; Innes and Booher, 2004; Reed, 2008). Inner and Booher (2004) propose a new way to conceptualise participation and engaging the public in planning. This model of participation is built on collaboration. Participation in this model should incorporate all actors; citizen, both profit and non-profit organisation, professionals, organised groups in a common framework that allows each and every individuals to act independently and also to interact and influence one another. Furthermore there is two way communication from citizen to government and vice versa (Inner and Booher, 2004:442).

Based on existing literature on how effective ports in general (not specific to port of Durban) have been in encouraging public participation, international case studies presented above show the level effectiveness of public participation in port development. Out of the three, the Port of Sydney/Botany has been successful in implementing, incorporating and encouraging public participation in port development. The other two ports, Melbourne and Vancouver have failed to incorporate and encourage public participation resulting in conflict between the developers and citizen.



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## Chapter Three: Conceptual and Theoretical Framework

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### 3. Introduction

This chapter is divided into two major parts; conceptual and theoretical framework. The first part is the conceptual framework, it defines and explains concepts that are relevant to the research. They include the concepts of the port, port-city relationship, functions and organisation of ports, port regionalisation, competitiveness, sustainable development and public participation. These concepts are critical in functioning of the port. They are also relevant to the Port of Durban Expansion (Back of Port project). The second part is the theoretical framework and it builds on the theory of “anyport” model, insurgent, advocacy theory and communicative rationality (communicative planning and collaborative planning theories) approaches discussed mostly in the discipline of planning within this century as a cornerstone for understanding planning theory and practice and redressing diversity in planning thus create access and vast opportunities to planning processes within the planning paradigm.

### 3.1 Conceptual Framework: Definitions

#### 3.1.1 Functions and Organizations of Ports

A port is a physical area sometimes considered to be a terminal located within the border of the ocean, linked to a particular coastal city where there are high levels of freight that are loaded onto or discharged from ships, thus generating local economy. The port interacts with other forms of transport, which can be vehicles, trains, ships and planes, providing connecting services. Ports sometimes become nodal points in controlling traffic, linking water and several land modes and also serve as turntables for freight flows (Schievink, 2012). Unlike previously situations, where the majority of ports were public organisations and owned and controlled by the government (from national to local government and municipalities). Contemporary in the 21<sup>st</sup> century world-wide some ports are owned by private organisations and privately owned by organisation, co-operations and companies (Schievink, (2012). Today the active participation of the private sector throughout the world, not only focuses on providing port services but also constructing and developing port facilities (Tovar, *et al*, 2004). In these modern times, three different forms of port organisation exist (Service port, Landlord ports and Tool ports) and they differ according to the degree of direct intervention of the Port Authority on the provision of services (Tovar, *et al*, 2004 and Schievink, 2012).

- a) **Landlord Port** - Port Authority owns the land and also is responsible for safety and access, infrastructural service, and maintenances and also gives concessions to private sector



companies for provision of cargo handling and storage services. Examples of this type can be found in the USA, Canada, Australia and Europe (Tovar, *et al*, 2004).

- b) **Service Port** - Services ports are responsible for handling and storing freights and these services are mainly provided by the Port Authority. Port Services were the most dominant form of port in the last century and contemporary; can be found in most developing countries. Examples of this type can be found in Singapore and many African ports (Goss, 1990; Heaver, 1995; De Monie, 1994 in Tovar *et al*, 2004).
- c) **Tool Port** - Similar to landlord port, Port Authority is responsible for provision of main ship to shore handling equipment, whereas freight handling is carried out by private companies.

There are two primary functions of the ports, namely; Traffic and Transport functions. In traffic function, port is the nodal point in traffic, connecting water and various land nodes (Schievink, 2012:45). It revolves on three circumstances:- the good front door, good backdoor and adequate capacity and services within the port itself; taking to consideration sea entrance, accessibility, safety and efficiency (Schievink, 2012:45), Whereas in transport function, ports become turntables for various cargo flows (Schievink, 2012:45). Transport function is multimodal but depends on particular situation of the port, which means that if the port is built within the hinterland, which servers for export and import with less competition, it is based on the society's interest that this service is provided efficiently with minimum cost. In the case where there are several ports competing for freight from and to the same hinterland or for transshipment trade, the efficiency of cargo handling and cost for pilotage, harbour dues becomes imports (Schievink, 2012:45).

### 3.1.2 Port and City Relationship

The Port-City relationships outline the dynamics between the city and the port. It highlights the evolution of ports throughout the years in the face of changing logistics industries, shipping modes and ports layouts. Figure 3 depicts and describes the traditional relationship between the city and the ports that represent a complimentary system of exchange as well as the development and production of maritime trade (Hoyle, 2001). Marking the point/period of the end of 1960s waterfronts, as the time frame that the port-city relationship diverged and represented a new direction for ports and city, as ports parted ways, due to the changes in maritime technology induced growth of separate maritime industrial development areas. Secondly marking the period of late 2000s at the point where the port-city relationship

intensified; meaning the port-city association is renewed due to the forces of globalisation and intermodalism that transformed port roles.

**Figure 3: Stages in the Evolution of Port-City Interrelationships**

STAGE	SYMBOL ○ City ● Port	PERIOD	CHARACTERISTICS
I Primitive port/city		Ancient/medieval to 19th century	Close spatial and functional association between city and port.
II Expanding port/city		19th–early 20th century	Rapid commercial/industrial growth forces port to develop beyond city confines, with linear quays and break-bulk industries.
III Modern industrial port/city		Mid–20th century	Industrial growth (especially oil refining) and introduction of containers/ro-ro (roll-on, roll-off) require separation/space.
IV Retreat from the waterfront		1960s–1980s	Changes in maritime technology induce growth of separate maritime industrial development areas.
V Redevelopment of waterfront		1970s–1990s	Large-scale modern port consumes large areas of land/water space; urban renewal of original core.
VI Renewal of port/city links		1980s–2000+	Globalization and intermodalism transform port roles; port-city associations renewed; urban redevelopment enhances port-city integration.

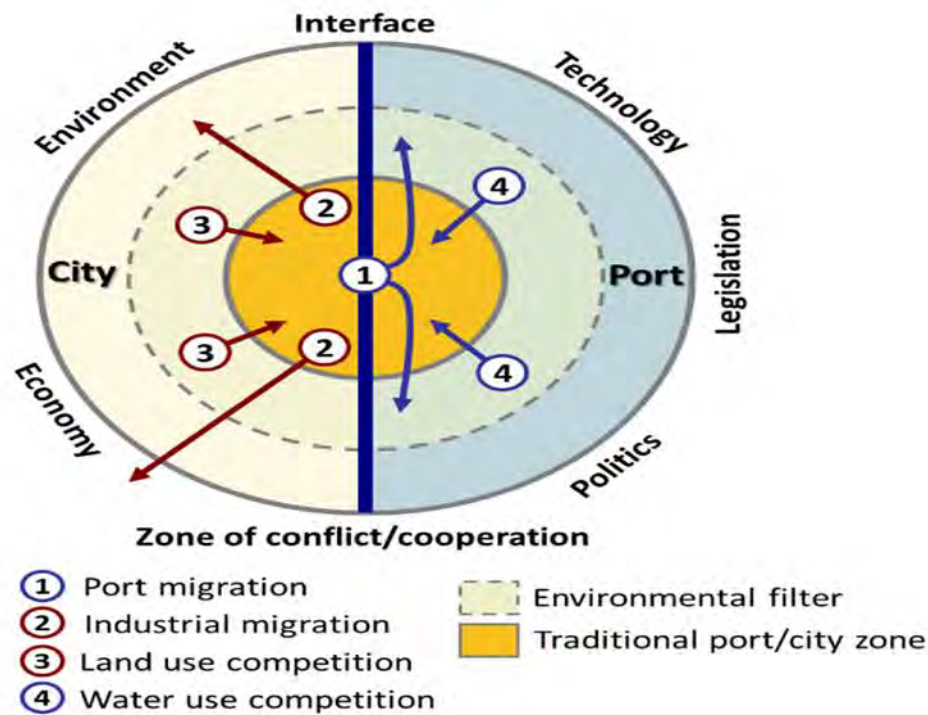
Source: Hoyle, 2001 (modified by Bob Smith, Department of Geography, University of Southampton from Hoyle 1998:7)

The port-city Interface Model depicted in figure 4 below shows variations of interdependent spatial processes and place emphases on redevelopments of waterfronts as one the examples of the controversial port-city interface zone of conflict and occasional collaboration. Hoyle, (2001) is critical of the Port Evolution Model, and particularly stage six of evolution; (renewal of port-city links) the renewed collaboration between the city and the port we see in the contemporary society.

The main argument here is that this renewed port-city association create economic dynamism for the cities linked to ports in form of employment and commercial interactions with global market; however it also occupies valuable space in proximity to urban areas and activities which cannot only be a source of dynamism, but also of conflicts (Slack *et al*, 2013).

Contemporary, the prevailing trend has been the issue of land and water uses caused by the modernisation of ports which is a valuable zone of interface. The issue of land use along ports, which is a valuable zone of interface, therefore requires cooperation between the port and the city so that social and environmental externalities are, mitigated (Slack *et al*, 2013). This becomes an issue in developing countries such as South Africa, where land is scarce for a port to expand.

**Figure 4: Characteristics of and Trends in the Port-City Interface.**



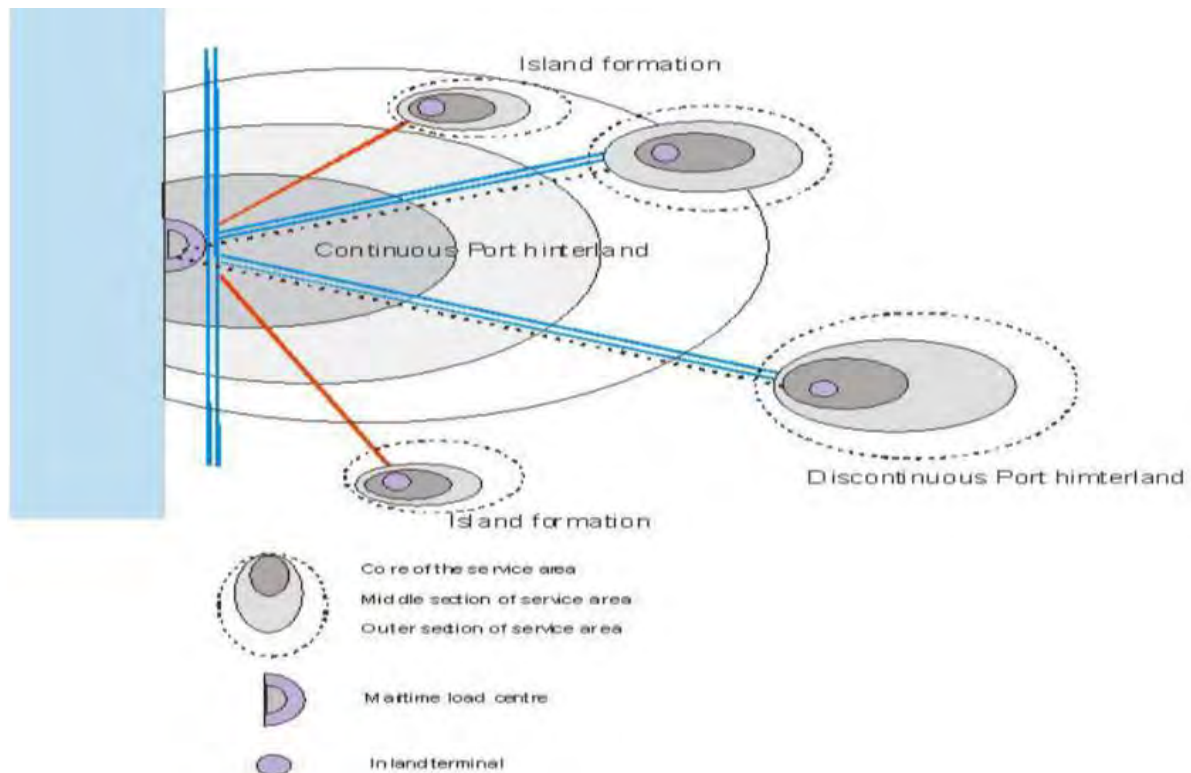
Source: Hoyle, 2001 (adapted from Hoyle, (1989) "The port-city interface: trends problems and examples")

### 3.1.3 Port Regionalization

Port regionalization is another component of contemporary port development. It is a significant development that fundamentally restructures the relationship between the city and port (Notteboom & Rodrigue, 2005). The regionalization phase advocates the establishment of terminals in land accommodating new port-inland linkages that utilise rail and barge. These both divert the road to railway preventing further overcrowding in the limited seaport area and on national motor highways (see figure 5). The size of these terminals in land depend on the frequency of the service, inter-modal shuttle service tariffs by the rail and the price of the haul by truck (LAP & LUMS, 2008).

The emergency of port regionalization is due to mainly two factors; local constrains and global changes. Local constraints include the inadequacies of available space and land for port expansion. However port expansion and development is often opposed by the local and environmental constraints and global changes this induced by the forces of globalisation, regional production system and large consumption markets.

**Figure 5: Port Regionalization**



Source: Adapted from “Port Regionalization: Towards A New Phase In Port Development” Notteboom and; Rodrigue., 2005

### 3.1.4 Port Competitiveness

A broad notion of competitiveness in port development refers to the inclination and skills to compete, to win and retain a position in the market, to increase market share and profitability, and eventually to consolidate commercially successful activities (Filó, 2007 cited on Dijkstra, *et al*, 2011:3). At national level competitiveness mainly rely on the ability of the cities, towns and urban areas to attract and retain competitive firms by creating sustainable environment for business (Rondinelli, 2004:5). While at a regional level it is about the ability to offer a supportive environment for local firms, small business and local people to live and work in.

The environment in which port operates in contemporary times has evolved. Therefore ports are affected by a number of factors driven by global competition such as the rise of mega-carriers, far reaching unitization of general cargo, the market entry of logistics integrators, the development of inland transport networks and the creation of network linkages among port operators (Tongzon and Heng, 2005). The reason behind large scale changes and competition is the direct result of the convergence of new technology, dynamic markets and globalization (Fearon (1999) and Philip (2005) cited on McLaughlin and Fearon, 2013). In this case ports

need to build and expanded on already existing ports to accommodate these changes in order to be able to compete locally, nationally and globally.

### **3.1.5 Sustainable Development**

Sustainability as a concept means to devote to maintain and restore something specific (Sutton, 1999 cited on Gollan *et al.* 2001). The World Commission on Environment and Development (1987) defined Sustainable Development as “development that meets the needs of the presents without compromising the ability of the future generation to meet their own needs”. The principal goal of sustainable development is intergenerational equity, which implies fairness to coming generations and also to assist nations attain this goal. In trying to achieve this objective, the 1987 world environmental development commission adopted a holistic and inclusive vision of the future of the society and live itself to find alternative ways to fight against environmental degradation, maintaining over consumption and alleviating poverty. At the preliminary stage only three core values were adopted, which consisted of economic prosperity, environmental sustainability and social equity. This is so because the Brundtland Commission recognized the convention economic imperative to maximise economic production. Thus there was a need to be accountable to an ecological imperative in order to protect the ecosphere and social equity thus to minimize human suffering (Berke 2002: 30). Until recently the Commission has added the fourth value; cultural vitality that consider participation, identity, sense of place presence and support for cultural participation (see figure 6 below). ACIP’s defines cultural vitality “as evidence of creating, disseminating, validating, and supporting arts and culture as a dimension of everyday life in communities” (Jackson *et al*, 2006:13).

Within the realm and in the context of urban development and planning, sustainable development is understood as a remedy for multi-dimensional problem, dealing with spatial characteristic, geographic location, environmental conditions, economic viability, cultural vitality, institutional ability and structure, human development, social relationships, local values and aspirations (du Plessis & Landman, 2002). It is a strategy that is deliberately inclusive and encourages participation because it is one of the mainstay for development (Jackson *et al*, 2006:13). Furthermore concerned with how humans utilize available resources and placing major emphasize on endangered resources. Both of these conditions imply the existence of limits (most resources are not infinitely available) and the need for adaptability (things are constantly changing) (Jepson, 2005: 167 in Jukuda, 2010). In essence sustainable development is a strategy that also minimizes negative environmental impacts as it encourages people to live within the limits of supporting ecosystems (Agyeman, *et al* 2003; Jepson, 2001;

Berke, 2002 in Jukuda, 2010). Therefore Sustainable development in the context of conflict and public participation in port development acknowledges the urgency of global problems, recognized critical connections between them, and sought to devise a framework on how they could be jointly addressed (Jepson, 2005 in Jukuda, 2010).

**Figure 6: Four ‘pillars’ of Social, Cultural, Economic and Environmental Sustainability**



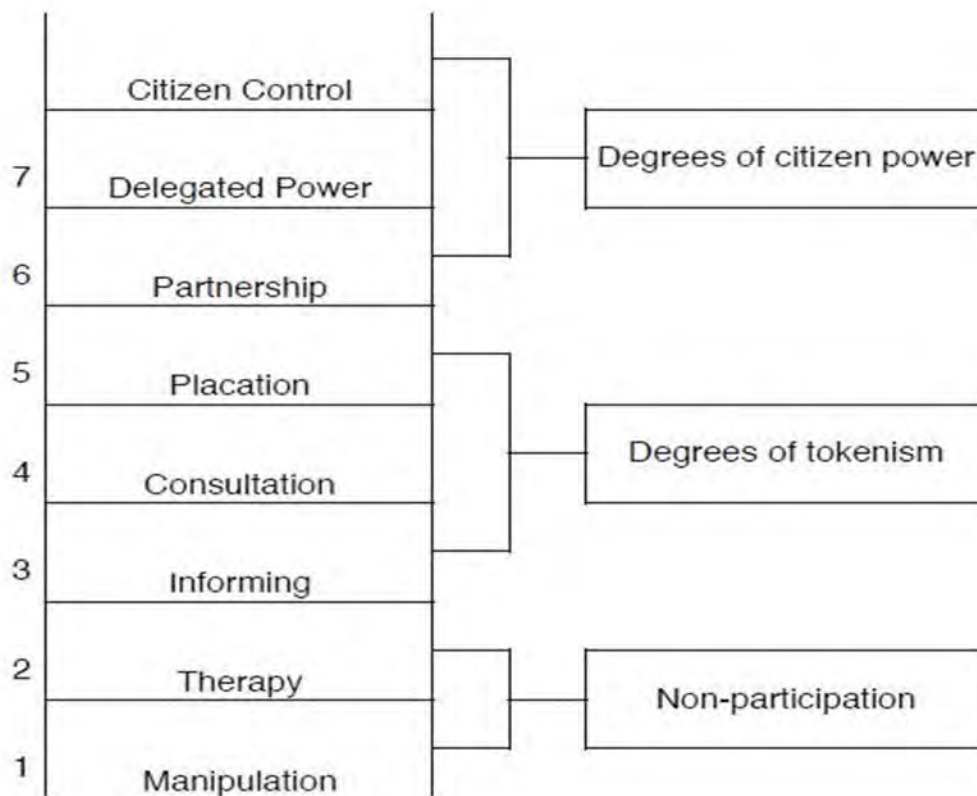
*Source: Kennedy et al, 2005*

### 3.1.6 Public Participation

United Nations Economic and Social Council resolution 1929 in Midgley, (1986:25) defines public participation as “voluntary and democratic involvement of people in (a) contributing to development effort, (b) sharing equitably in the benefits derived therefrom and (c) decision making in respect of settling goals, formulating policies and planning and implementing economic and social development programs”. In spite of all this, the majority of researchers, writers and planners’ views on public participation can be reduced to being only to assist the management purposes of the whole process of participation. Authors such as Painter 1992; Sandercock 1994 in Lane, (2005) take to consideration that participation opportunities may differ according to specific planning concepts. And this can be recognized by relating different planning approaches with Arnstein’s well-known “ladder of participation” (Lane, 2005).

According to Arnstein (1969:216); “*the idea of citizen participation is a little like eating spinach: no one is against it in principle because it is good for you*”

**Figure 7: Eight Rungs on a Ladder of Citizen Participation**



Source: Arnstein, 1969

Arnstein (1969) argues that in any development projects there is a degree of participation, this could be in a form of power or control participants can use in pursuing to shape the outcome. This is clearly presented in Arnstein's Eight Rungs on a Ladder of Citizen Participation (figure 7 above). Individual Rung correspond to the level of citizen's power in determining the end outcome. Arnstein's 8 Rungs of ladder (Arnstein 1969:217):

- First Rung: (Manipulation) and Second Rung: (Therapy) define the levels of “non-participation” that have been utilized by some individuals to substitute for genuine participation. The main aim and objective is to facilitate power holders to educate and cure the participants rather than to enable people only to participate in planning and conducting programs.
- Third Rung (Informing) and Fourth Rung (Consultation) progress to level of “tokenism” that gives a chance the underprivileged to listen and also to have a say in the development. These two rungs on the ladder play the part of educating those who invite the public to take part are able to set the terms of that participation. This

could be done through *educating, informing* and *consulting*. Furthermore they can distribute power through *partnership* (Lane, 2005).

- Fifth Rung (Placation) is simple an advanced level of tokenism. Ground rules give opportunity the underprivileged to advice, however the major rights for decision making are still vested within power holders.
- Sixth Rung (Partnership) is a higher step with increased degree of decision making clout. This is more advanced level that allows/enables citizen to enter a mutual partnership that give them the rights to negotiate and engage in trade-offs with traditional power holders. Participants or underprivileged in this step have powers to use a high degree of control and power (Lane, 2005).
- Seventh Rung (Delegated Power) and Eighth Rung (Citizen Control); in these rungs underprivileged have the power and full control in decision making and full managerial power.

The main argument of Arnstein, (1969) is that if planners, developers and policy makers are to achieve genuine public participation there is need of redistribution of power between participants and stakeholders. Amy (1987) in Lane, (2005) also emphasizes the importance of power sharing. Amy (1987) further contend that the dissemination of power determines the equal opportunity of given process, taking note that the differences in power generate insistent and unequal opportunities.

## **3.2 Theoretical Framework**

### **The Theoretical Context of 21<sup>ST</sup> Century Port Development and Public Participation**

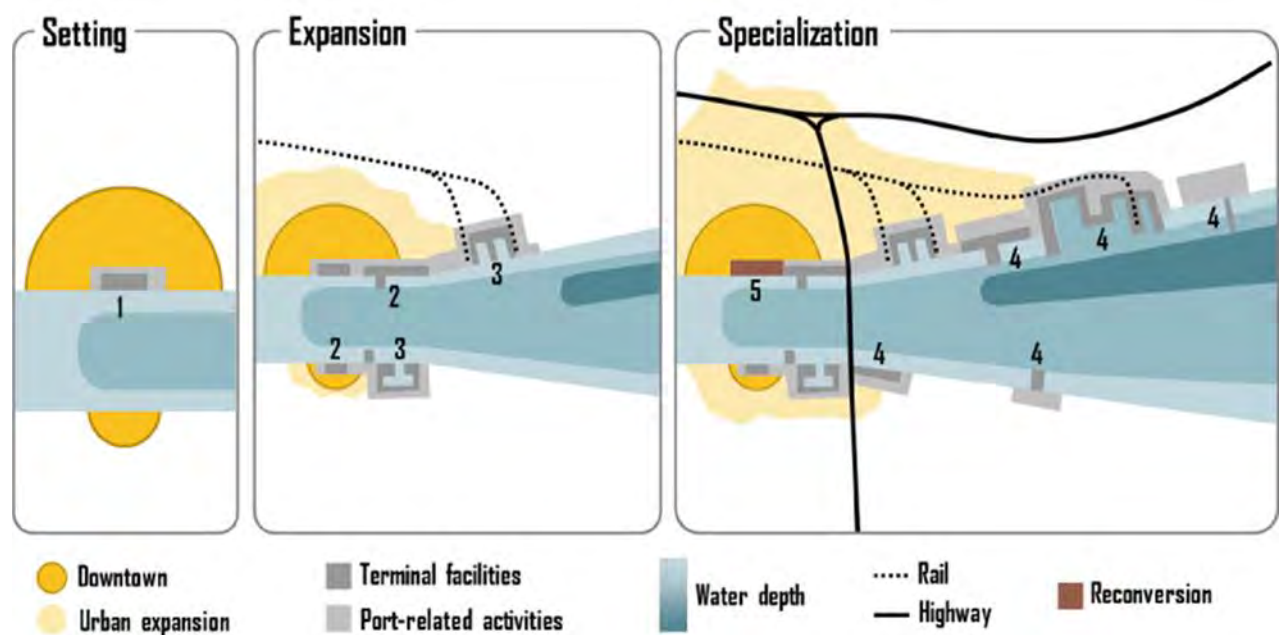
#### **3.2.1 Anyport Model**

Anyport Model refers to the evolution of ports, tracking the evolution of ports, vicinity infrastructure and how they have evolved in time and space (Rodrigue (2013). Anyport model was developed by Bird (1963), hypothesizing the changes in activities that come as a results of a quest for new sites that could offer new space for terminal operations and could allow expanded access for larger ships (Bird, 1963 in Slack and Wang, 2002:159). This theoretical model was conceived just before the container revolution and was based on the notion of growth of ports peripheral to the dominant container hubs in Europe and North America (Slack and Wang, 2002). This well-established theoretical model is based on implied relationship



between technological change and port development, emphasising that growing mechanisation of port operation and increasing vessel sizes create unsustainable conditions that older port sites cannot maintain. New established sites are being built sometimes kilometres away from the main port, which result in spatial de-concentration of port activity (Slack and Wang, 2002). Older dock sites may be upgraded but generally development takes place on Greenfield sites (Slack and Wang, 2002). This is the case in the majority of developing countries such as South Africa and Port of Durban Expansion is one of the examples of such an establishments.

**Figure 8: Evolution of a Port (The Anyport Model)**



Source, (Rodrigue 2013)

The evolution of traditional ports can be best demonstrated by Bird's five stages model that demonstrates how facilities in port develop. Based on investigation on British ports evolution, Bird (1963) argued that there are five stages, which can be further categorised into three major steps in the port development process (Figure 8). The evolution begins at the primary site with quays nearby the town. Then expands to deal with increasing volume of general cargo and then a port will typically expand to deal with specialized cargos such as containerized cargo and bulk cargos. Bird's three phases are detailed below (Rodrigue 2013);

- **Setting Phase** – Primary setting of the port mainly depends on geographical consideration. This becomes the evolution point, where evolution begins from the original port that consists of fishing port with trading and shipbuilding.

- **Expansion Phase** - Major changes in ports can be linked to the industrial revolution. The era came with changes in terms of size and function of the ports. Quays were expanded and jetties were constructed to enable harbours to handle the increasing amounts of freights, passengers and bigger ships. The evolution of rail lines linked with port terminals also influenced the opening of hinterlands for temporary storing of freights, increased the maritime traffic and also influenced growth in industrial activities.
- **Specialization Phase** – (this phase involves the fourth and fifth stages). Specialization phase involves the building of specialised piers to handle increased freights such as coal, oil and containers. Increased freights influenced the expansion of warehouses and required dredging and building of longer jetties for greater access and depths. This evolution forced several ports to migrate from their original setting and an increase of their handling capacities. Lastly, original port sites commonly located adjacent to downtown areas became obsolete and were abandoned. Numerous reconversion opportunities of port facilities to other uses (waterfront parks, housing and commercial developments) were created.

Even though the models fall short when explaining modern port development such as the rise of ports utilising inland freight distribution centres in the modern port, as they were used to “depict the development of large traditional ports, where a port starts initially with lateral quays adjacent to the city (setting phase), then expands to deal with increasing volumes of general cargos (expansion phase) and then a port will typically expand to deal with specialized cargos such as containerized cargo and bulk cargos (specialization phase)” (LAP & LUMS 2008:12). They can offer useful lens through which one may view and interpret the port spatial changes that have occurred throughout years. Therefore to account for modern port changes a fourth phase to the Anyport model is adopted, the “port regionalisation”.

### 3.2.2 Insurgent Planning

According to Sandercock, (1999:41):

*“Insurgent planning is insurgent by virtue of challenging existing relations of power in some form. Thus it goes beyond “participation” in a project defined by the state. It operates in some configuration of political power, and must formulate strategies of action. Insurgent planning practices may be stories of resistances, and not always successful . . . of resilience . . . or of reconstruction”.*

Insurgent planning can be defined as a “grassroots planning that often challenge state directed planning and policy” (Sweet and Chakars, 2010:2). This theoretical framework builds on the theory of radical planning discussed mostly in the discipline of urban planning to understand the way in which inclusion and participation acts as a fundamental instruments in developments world-wide and post 1994 in South Africa. This concept place emphases on the influences of neoliberal capitalism to neutralise citizen-state relations by empowering civil society in governance and also advocate the significance of radical approaches of the contested terrains of inclusion and dominance (Miraftab, 2009:32).

Insurgent planning acts as solution to the dominant, change resistant elites and elitist structures of planning and government that perpetuate town down approaches (Sweet and Chakars, 2010:3). It challenges the idea and the way in which the state perpetuates, regulate and conduct participatory planning in state-initiated projects development (Meir, 2005). As an alternative, insurgent planning uses oppositional planning practice that mainly involves local people such as marginal groups and indigenous people who are alienated by and affected by the development (Meir, 2005). These oppositional radical ideas and strategies are initiated by civil society to ensure inclusive of the citizens in decision planning in development projects (Sutherland, 2011). They emerge when local people feel their voices are alienated and excluded in decision making process by the state in state-initiated projects (Sutherland, 2011). According to Sutherland (2011:1):

*This includes staging protest in the streets of their own neighbourhood where they bring the state into their spaces, rather than moving to the formal spaces of government offices or meeting, where they believe their need are not heard or addresses. The concept of insurgent planning challenges the mainstream approaches of constructing and solving problems and establishing power. It therefore becomes a response by the marginalised in defying policies and planning which are imposed upon them. It challenges the state, and the invited spaces of participation that the state creates, by developing spontaneous forms of action and citizenship (Holston, 1998, Miraftab, 2006, Miraftab and Wills, 2005).*

Meir, (2005) argues that the main objective behind this practical reaction is to fight conventional planning initiated by the state that they believe to be a reflection of the structure of political power relations within the state. Meir goes on to say since the planning processes and practice are a conceptual activity, so will be the practice conducted by the local citizen.

These practices may involve resistance, resilience and reconstruction (Sandercock, 1999 in Meir, 2005).

Under this analytical framework the complexity is seen as perpetuated by the states' ideas of participatory planning in state-initiated projects. This theory is applicable to the circumstances of the Port of Durban expansion project as it ought to explain the challenges of power dynamics between the Residents and Port Developers, which is state initiated project.

### **3.2.3 Advocacy Planning**

The concept of Advocacy planning refers to “architectural design and planning for powerless, inarticulate inner-city groups, notably when resisting destructive schemes by planning authorities, government agencies, or similar bodies” (Salsich, 2012:724). Advocacy planning is a term and concept invented by an American Planner, Paul Davidoff in 1965 who built advocacy planning upon the principles of social and political pluralism (Salsich, 2012; Faludi 1973 and Mazziotti 1982 in Lane, 2005:293). The theory of advocacy planning is a response to the failure of Synoptic Model<sup>6</sup> (Lane, 2005). The main focus for advocacy planning is to address the image of society (Faludi 1973:137 in Lane, 2005). It presents a revolution in planning that brings previously excluded stakeholders into play and also bring a new role in planning for planner to undertake in their profession (Peattie, 2007).

Mazziotti (1982) in Lane, (2005:293) states that advocacy planning is built according to three key themes:

- Firstly, on the existing disparity of negotiating power between groups and stakeholders. For example the idea of winning a specific battle and identifying with the plight of a group that is in a position of power/resource disadvantage (Williams, 2006).
- Secondly, based on the uneven access to the political structure. For instance, the concept of rigorous, even aggressive negotiating with opponents or manipulating the environment to obtain a desired end on behalf of a client population, this mostly happens in marginalised citizens in South Africa) (Williams, 2006).

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<sup>6</sup> By the late 1960s, the trenchant criticisms of the rational-comprehensive paradigm had begun to precipitate new models of planning (McDonald 1989; Friedmann & Kuester 1994). A single, unifying model of planning was not to emerge, however. Instead, a range of new approaches were suggested, all of which shared the common goal of overcoming the many and varied criticisms which had been levelled at the synoptic ideal.

- Thirdly, on the basis that the majority of people and particular the underprivileged do not have a representative organisation, therefore they not represented by interest groups.

The above mentioned inequalities are therefore the base or foundation for inventing advocacy planning. The objectives of advocacy planning is to seek and inspire equal opportunity in terms of representation and accommodation of all people in planning processes (Davidoff 1965). Similar to insurgent planning, advocacy planning build on the traditional radical approaches by focusing on backing the interests of the underprivileged, powerless, previously disadvantaged, excluded and alienated voices in communities in the venture of pursuing social change thus uplift the conditions of the marginalised (Lane, 2005).

Advocacy planning in the case of participation presents a breakthrough from traditional ways of practicing participation. Participation, particular the participation of the majority and the underprivileged becomes the central focal point, rather than marginal planning technique (Lane, 2005:293). As the heart and soul of public participation it ensures the powerless, unheard and invisible interests are considered and brought to surface in decision making processes (Lane, 2005). Rejection of the notion of unitary public interest also form part of advocacy planning areas of interest (Lane, 2005). This means advocacy planners, community developers and political plurality becomes not only facilitators of public participation but also advocates of the marginalised interest directly, inform ordinary citizens about planning issues (on security or other) and working out suggestions together based on discussion, as well as to represent ordinary citizen before official bodies such as the city administration (Salsich, 2012; Lane, 2005).

### **3.2.4 Communicative Planning and Collaborative Planning**

The last decade has witnessed a reinvigoration of theoretical discussion within the discipline of planning (Healey, 1998), (Fainstein, 1999), (Bugg, 2012), (Allmendinger and Tewdwr-Jones, 2002). Firstly, the theoretical discussion has been the context of the “important direction for planning theory with significant potential for practice to address the context of increased diversity in planning” (Allmendinger and Tewdwr-Jones, 2002:216). Secondly, the context of managing conflicts over the use and development of land and promoting particular qualities of places (Healey, 1998). Communicative rationality has been the main theory in the past decade that has been analysed and looked to in hope to understand thus to resolves these planning dilemmas in both theory and practice. Communicative planning and Collaborative planning have somehow been used interchangeably. In places such as United Kingdom it is known to be

collaborative planning, whereas in the United State of America it is known as deliberative planning, as discussed by Allmendinger and Tewdwr-Jones, (2002). It is through communicative planning; which entails that through successful communication as well as the understanding of how to integrate shared interests, ideas and opinions results into conflicts resolution and consensus (Healey 1999 cited in Holgersen and Haarstad, 2009: 350).

Communicative planning, on one hand has been one of the leading planning approaches in planning theory in the past decade that is “built in arena in which decision making on shared issues is made by all the people involved” (Martens, 2013:4). It also highly considers the role of participation, which demands form of participation which provides forums for dialogue, argumentation and discourse Hillier 1993; Healey 1996) in Lane, (2005). This is because contemporary planners and developers have recognised that planning should no treat interest as a source of power, bargaining with others to create a calculus which expresses the power relations among the participants, rather should be a process of facilitating community collaboration for consensus-building (Voogd and Woltjer, 1999: 835). They have also recognised that it enforce social and organisational benefits such as stakeholder involvement at local level planning (Mandarano, 2008: 457).

Within the communicative planning, public participation is more than just consultation and placation, rather it is more of debates and negotiations (Dryzek 1990 and Giddens 1994 cited in Martens, 2013). Moreover, participation is more of an essential element to planning developments that enables interested actors to argue for/against, debate and engage in discourse for the purpose of organising attention to the possibilities for action (Forester 1989:19). Therefore the failure to achieve involvement of concerned actors within the context of communicative planning mean that planning cannot proceed.

Collaborative planning on the other hand is a process of collaboration between different stakeholders in different settings. The settings include regulatory negotiation, public-private partnerships, community gatherings and public meetings (Jukuda, 2010:19). It is based on the belief that an approach to decision making based on dialogue will satisfy a greater range of the needs of the various stakeholders than an adversarial approach in which the most powerful will usually prevail at least in the short-term” (Bugg, 2012:1). There are various numbers of approaches embedded within collaborative planning but there are two most essential principles (Healey, 1997: 5-7):

- Collaborative planning is centred on the understanding that the ideal form of making decisions is democratic debate amongst stakeholders focused on consensus. In this sense it focuses and draws from Habermas's views of communicative rationality and the ideal speech situation in the article titled *the theory of communicative action*.
- Collaborative planning images a planning principle, which enables all stakeholders to a voice. This enables all stakeholders (State, private, public and importantly citizen) to engage effectively and also obtain the contest of a broader range of stakeholders through public participation (Bugg, 2012:1).

Butler and Goldstein (2010: 239) in Jukuda, (2010) argue that stakeholders sharing a common goal can diagnose a problem and can development a solving mechanism that would assist in understanding how to address the problem at hand. This includes mediating differences because even when collaboration is initiated in order to advance a shared vision, stakeholders are anxious to advance their own individual interests. Therefore in order to achieve such goal there are certain conditions that needs to be met such as that; individual speaker must lawfully represent the interest for which he/she claims to speak for, individual speakers must speak open and honestly, individual speakers must make comprehensible statements that everyone understands, lastly individuals speakers must be precise (Bugg, 2012).

### **3.2.5 Public Participation and Conflict Resolution in Collaborative Planning**

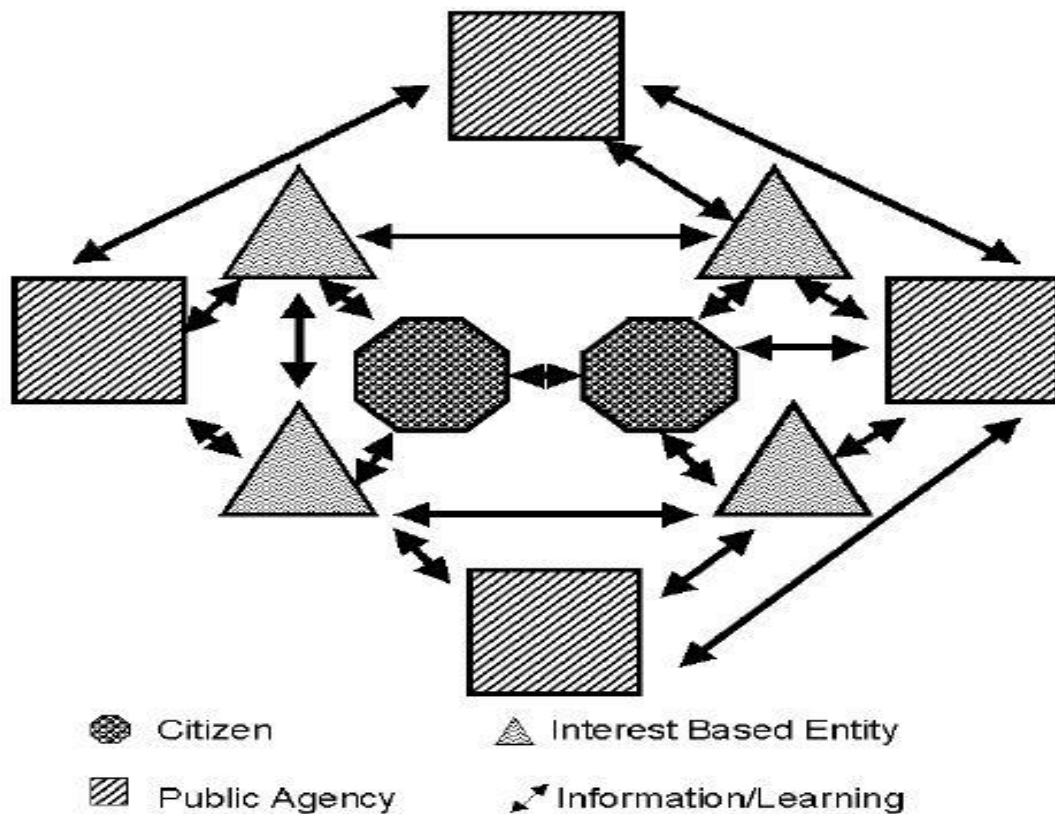
The sinister dark side of planning is that it is based on promoting top-down decision making, condemning meaningful forms of public consultation initiated under the guise of genuine participation (Yiftachel, 1998:402). Collaborative planning acts as planning theory/approach that reconceptualise these planning functions to advance balance between the goals of planning and also between the two parallel goals: economic growth and ethno-national identity.

Collaborative planning images planning principle that enables all stakeholders to a say in development. It enables all stakeholders to engage and thus obtain the contest of a wider range of stakeholders through public participation (Bugg, 2012:1). Unlike traditional models of public participation that promotes one-way direction of benefits and information, collaborative planning encourages a co-generative learning process based on joint fact finding and joint problem solving (Innes and Booher, 2004:426). Collaborative Network Paradigm is one of the model that clear depicts a variety of relationships between different actors thus encourage effective public participation. In collaborative network paradigm for citizen participation (Inners and Booher's 2000:26) (refer to figure 9):

- ⇒ Within the collaborative network paradigm public participation works as part of a network;
  - Where government, development and professionals actors are many individual public entities
  - Where interest based entities rather than only interacting with the public entities but encouraged to interact with all citizen and also assist them to further interact with one another.
- ⇒ Government is not fixed (a black box) but an array of agents loosely connected to the interest based entities and individual citizens.
- ⇒ Interest based entities consists of a dynamic range of people in which citizens associate themselves based on their common understanding and shared or mutual interests
- ⇒ It does not only base interest in big and successful based organization such as environmental and social associations, ratepayers, professionals, political parties, policy oriented organizations however it is also based on small based groups such as soccer clubs, neighborhood groups, civil groups and school groups
- ⇒ All the above mentioned elements are the heart for mutual learning of deliberative democracy. These public entities interact and build relationships with the various interest based entities as well as each other, according to the issues at hand. The interest based entities interact with each other as well as with their constituencies, public agencies, and the broader public.



*Figure 9: Collaborative Network Paradigm for Citizen Participation*



Collaborative Network Paradigm for Citizen Participation Source: Inner and Booher, (2000)

### 3.3 Summary

This chapter defined and explained the concepts and theories (port, port-city relationship, functions and organisation of ports, port regionalisation, competitiveness, sustainable development and public participation) and how they relate to each other. It also looked at how these concepts link, shape and influence public participation, conflict and Port of Durban Development within the global context as well as post 1994 in South Africa. The majority of researchers, planners and developers acknowledge that the transition of theoretical discussion concur that planning has taken an important direction for planning theory with significant potential for practice to address the increased perpetuated conflict and ambivalence about the idea of participatory planning. The chapter further discussed the transition of this theoretical discussion of public participation in the decade within the discipline of planning and development. Therefore in doing so, this chapter traced the role of public participation, conflict and development in planning theories and furthermore linked how this is largely determined by the nature of the planning enterprise being undertaken.

## Chapter Four: Back of Port Expansion Project: Challenges and Experiences

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### 4. Introduction

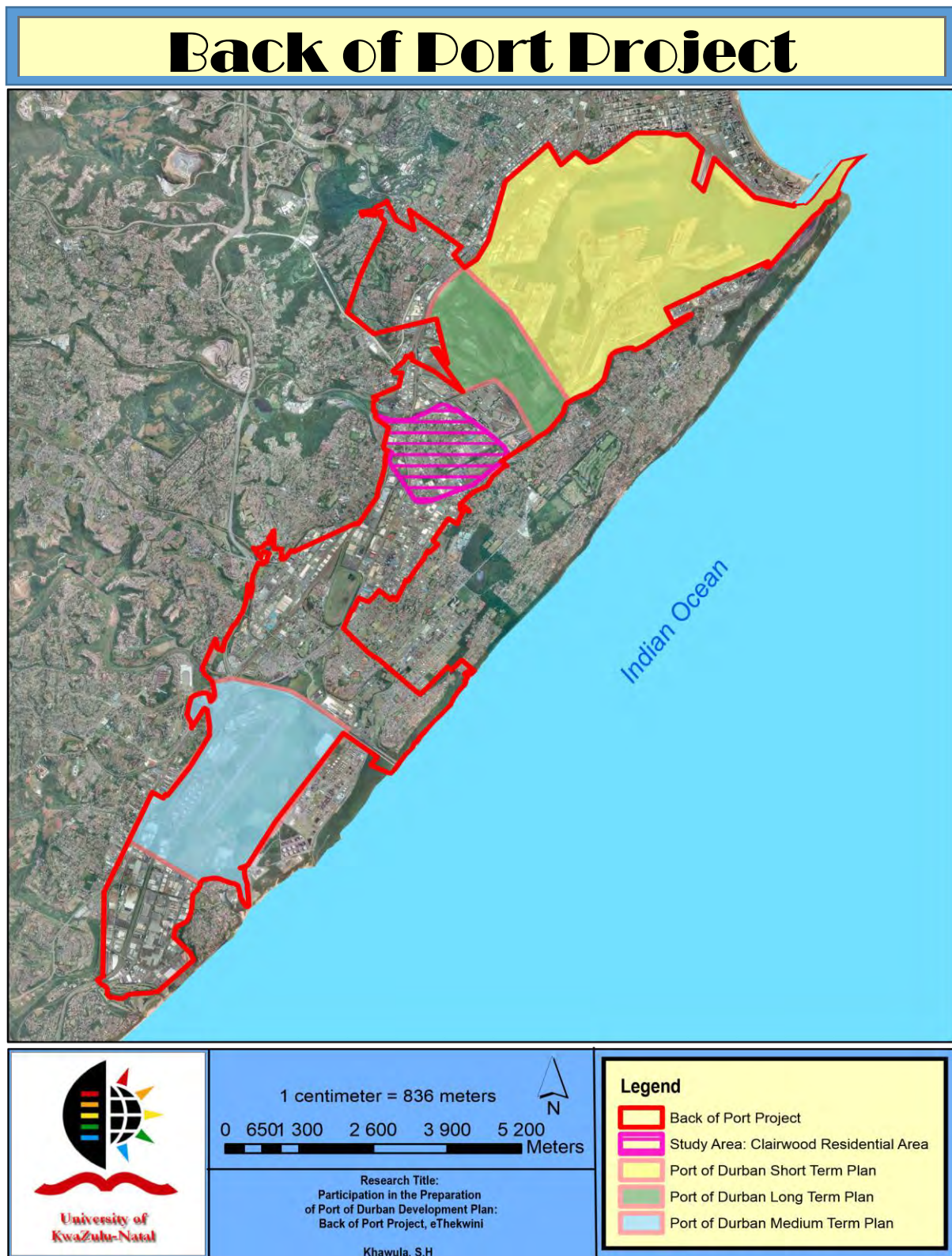
Since this dissertation deals with public participation and dynamic factors of conflict that arise in the proposed Back of Port Project<sup>7</sup>, it is necessary to outline the public participation processes that have been utilised during the initial planning phase of the Back of Port project plan. As such, this chapter introduces the regional, local, historical analysis as well as future perspective of the study area. Following that, a situational analysis will attempt to give a brief current situation, issues and factors arising within the study area. Lastly it discusses the Back of Port public planning process undertaken in the initial plan of Back of Port project plan.

For clarity in terms of the study area, Port of Durban expansion is part of the Back of Port Project and this project stretches out and consist of three areas of development; the Durban bay (Port of Durban), old airport site and Maydon Wharf (bayhead). However due to scope of this research, in terms of affected area this study only focuses on Clairwood as the main affected community (see map 6 and 7).

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<sup>7</sup>**BoP - Back of Port** - refers to the areas surrounding the Port of Durban within the South Durban Basin. For this exercise it refers directly to the study area comprised of Congella, Umbilo Industrial, Rosburgh, Clairwood, Jacobs and Mobeni.

*Map 6: Port of Durban (short term plan), Old airport site (medium term plan), Maydon Wharf/bayhead(long term plan) and Clairwood (Back of Port)*



Source: Researcher's Map, 2014



Map 7: Study Area: Clairwood Residential Area



Source: Researcher's Map, 2014

## **4.1 Geographical setting**

### **4.1.1 Regional Context**

eThekwini Municipality has four demarcated Municipal Areas; Outer West, North; South, and Central Regions. The Port of Durban (Back of Port) is located within the Central region and forms part of the Central Spatial Development Plan (See Map 8). The Central Region is the urban core of the eThekwini Municipality and it has a population of approximately 3.5 million people (Stats SA, 2011). Boundaries of the Central Spatial Region (CSR) extend from the Umgeni River, in the North, along the coast through to the Umlaas Canal in the South and extend to the escarpment in the west extending over an area of 677 km<sup>2</sup> (67772.33ha) (eThekwini Municipal IDP, 2014\2015). The Central Region contributes to 56% of the eThekwini Municipality's (EMA's) GDP and is centred on the transport and logistics activities of the Port and consists of industry, commerce and tourism, which is one of the key economic development leading factors of eThekwini Municipality (eThekwini Municipal IDP, 2014\2015).

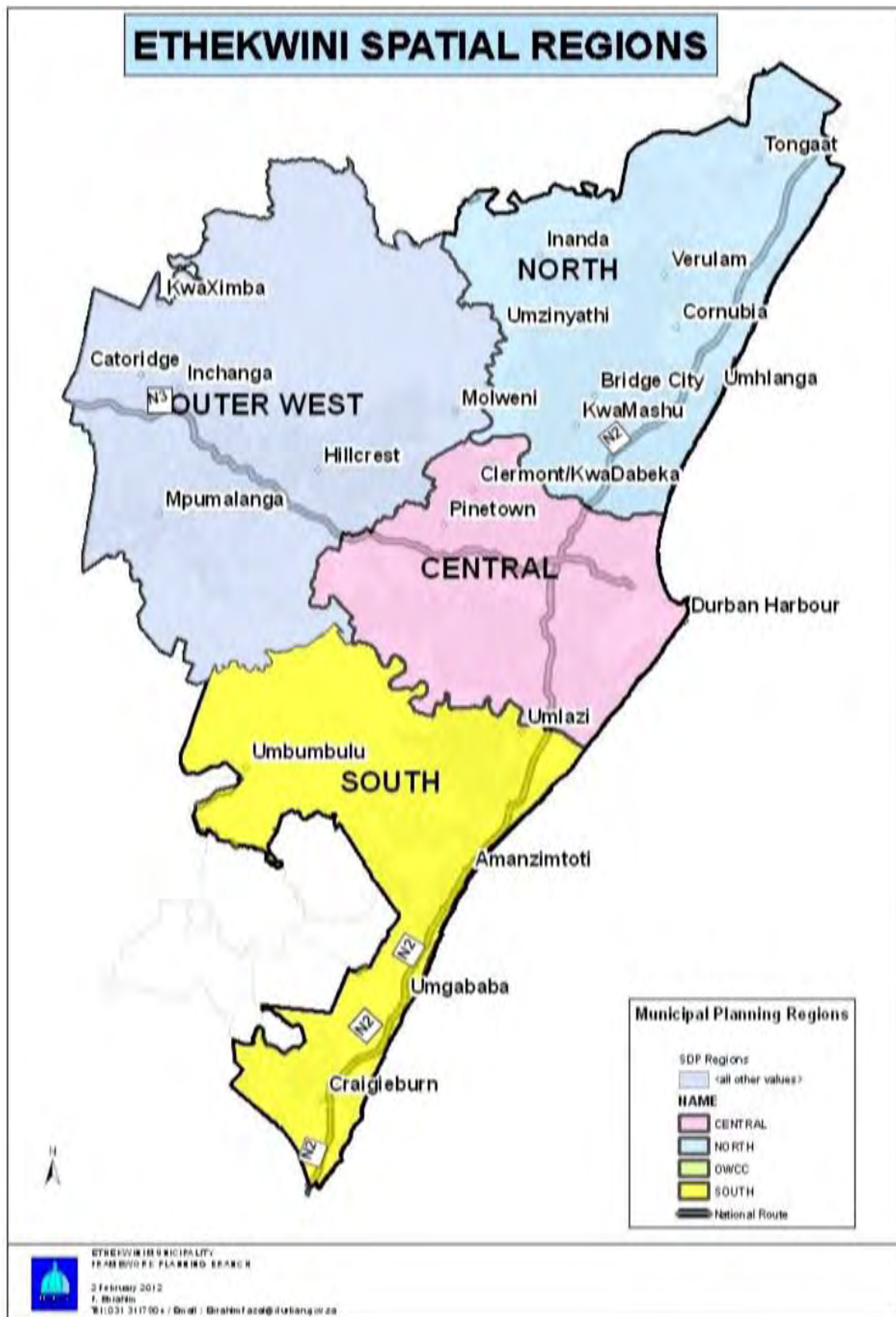
Port of Durban extension plan further link central spatial region to southern spatial region as major development component of the Back of Port which consists the southern portion of the South Durban Basin (old airport site). Unlike the Central Spatial Region, South Spatial Region is concentrated with residential areas such as Clairwood, Rossburgh, Umbilo industrial, Jacobs, Mobeni, Congella, Merewent, Isipingo Rail and Prospecton, which will affect this redevelopment (eThekwini Municipal IDP, 2014\2015).

### **4.1.2 Local Context**

In the local context of KwaZulu Natal. Port of Durban is located in the bay of KwaZulu Natal, along the east coast of South Africa at coordinates 31° 02'E in longitudinal and at 29° 52'S in latitudinal terms (Ross, 2010:42; Mather and Reddy, 2008:2). The Port is surrounded on all frontages by the sprawling City of Durban, which forms part of the eThekwini Municipality, and one of South Africa's fastest growing regional economies – (see map 9) (Mather and Reddy, 2008:2). The Port of Durban has two major roles, first the key role in economy of Durban and secondly it plays a huge role in the country's economic development by being the international gateway for Gauteng region, which is the main economic hub of the South African economy through the diverse port facilities it offers (Mather and Reddy, 2008:2)

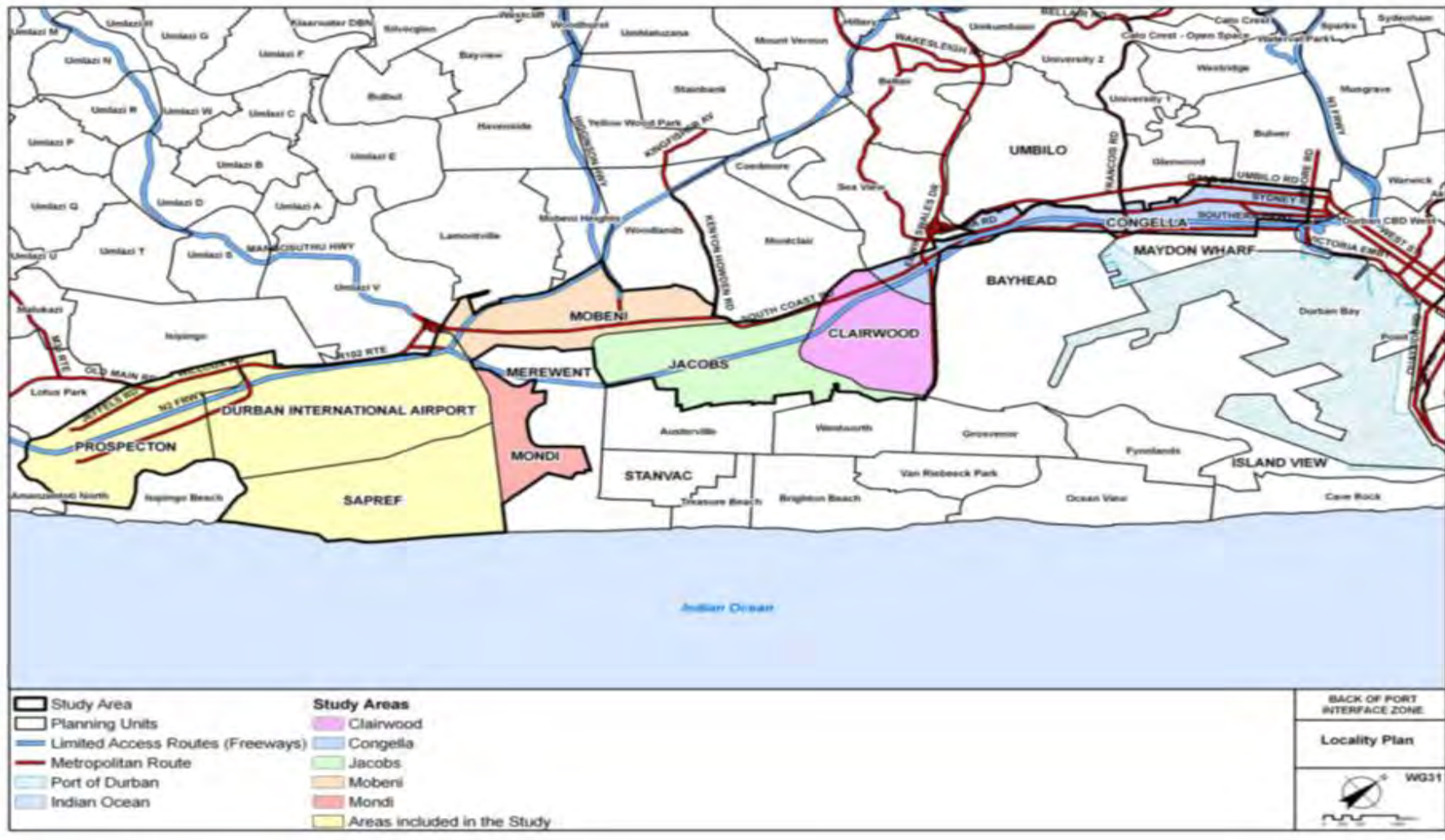


Map 8: Regional Context of Port of Durban (Back of Port)



Source: (eThekweni Municipal IDP, 2014/2015).

*Map 9: Local Context of Port of Durban (Back of Port)*



Source: LAP & LUMS, 2012

## 4.2 Historical Analysis

The relationship between the port development and operations and city of Durban has been and will always remain interconnected at various levels. This can be traced back to the 1840s where Natal (contemporary known as KwaZulu Natal) became a British Colony and the British government used Port of Natal Harbour as a gateway for various products to flow in and out of the country (Mather and Reddy, 2008). Since then and particular between the periods of 1850s and 1931, the port of Natal had reconfigurations in terms of port entrance. In 1850 to 1901 the development of the port entrance channel was built with an entrance level of approximately 5.5 metres. 1903 to 1931 saw the depth of the entrance deepening again up to its present day depth of 13 metres (Mather and Reddy, 2008).

The city of Durban under eThekweni Municipality is considered the fastest growing as well as the second largest manufacturing hub in South Africa, whereas the Port of Durban is considered as the largest export and import gateway in Southern Africa and the continent as a whole (LAP & LUMS, 2012). These trends can be found in the roots of the Port of Natal. Drawing from the historical background of the port prior the First World War, Port of Durban (previously known as Port of Natal) functioned as a gateway Port to Natal commercial center that provided basic needs such as food, shelter and clothing to the white settler population (Stott, 2003).

However the port did not only serve as gateway port, but also gave rise to the southern and northern areas that the contemporary boarder around and along the Port of Durban. On the northern side it intensified development along the margins of the port and further integrated with Point area. While on the southern side it gave rise to industrial nodes in the south of Durban that includes Congella, Isipingo, Wentworth, Merebank, Umbilo, Jacobs, the Bluff, Umbogintwini and Clairwood (Scott, 2003). Due to insufficient land in the northern side of the port, the south also provided cheap flat land close to both the port and town of Durban, and this is the reason why there is high concentration of residential areas within the Southern area of Durban (Scott, 2003).

As mentioned above the majority of the Port of Durban area is linked and situated within the South Durban area. The structure of the South Durban has been “compromised” by the impact of historical apartheid planning on surrounding as well Durban’s communities (LAP & LUMS, 2012). According to Scott, (2003) conflict between residents and developers can be traced as early as 1938 when Clairwood residents’ successful campaigned against the re-zoning of



Clairwood from residential to industrial zone. This was done through an organised joint campaign by Clairwood with District Residents and Ratepayers Association (CDRRA) through the application of town planning regulation against industrialisation (Scott, 2003). The campaign later changed from resistance against the technical issues of removal and re-zoning, to a full-scale protest against the policy of industrialisation, a “Help Save Clairwood” campaign supported by various Non Profit Organisations (Scott 2003).

#### **4.3 Future Expansion of the Port of Durban**

Due to Port of Durban original design’s limitations in terms of physical structure, Port of Durban suffer from capacity inadequacy, therefore need to upgrade and expand in order to improve the safety of the berths as well as the infrastructure necessary to accommodate the increase in overall capacity of the port improve the efficiency of the port (WSP 2013). The expansion plan involves a number of separate programmes, which can be classified as short, medium and long term. The short term plan consists of upgrading the existing Port of Durban (see map 10). The medium term plan is to completely build a dig out port on the old airport site (see map 11). The long term plan involves expanding the Bayhead dig out – see map 12 (Maharaj, 2013; Pillay, 2012; Mather and Reddy, 2008; Mather, 2013; LAP &LUMS, 2008; LAP &LUMS, 2012).

*Map 10: Port of Durban Expansion Short Term Plan*

## PORT OF DURBAN SHORT TERM PLAN

### Current Layout Plan



Source; Pillay, 2012

1. Point MPT and RoRo Terminal
2. Maydon Wharf – Dry/Break/Liquid Bulk Terminals
3. Bayhead Park – Ship Repair/Ship Building
4. Durban Container Terminals Pier 1 and Pier 2
5. Island View - Liquid Bulk Precinct
6. Bluff – Dry Bulk Terminal

### Proposed Short Term Layout Plan



Source; Pillay, 2012

1. North quay berth deepening
2. Pier 1 expansion with Salisbury Island infill
3. Maydon Wharf quaywall reconstruction
4. Island View berth reconstruction
5. Point Passenger Terminal

*Map 11: Port of Durban Expansion Medium Term Plan*

## PORT OF DURBAN MEDIUM TERM PLAN

### Proposed Medium Term Layout Plan



Source; Pillay, 2012

The medium term expansion of the Port of Durban will be focussed on the new dig-out port on the old Durban airport site.

1. Breakwater and entrance channel
2. 16 berth container basin and terminals
3. New automotive terminal
4. Liquid bulk berths and terminal
5. Road and rail connectivity

### Current View



### Proposed Artistic View



Source; Mather, 2013



*Map 12: Port of Durban Expansion Long Term Plan*

## PORT OF DURBAN LONG TERM PLAN

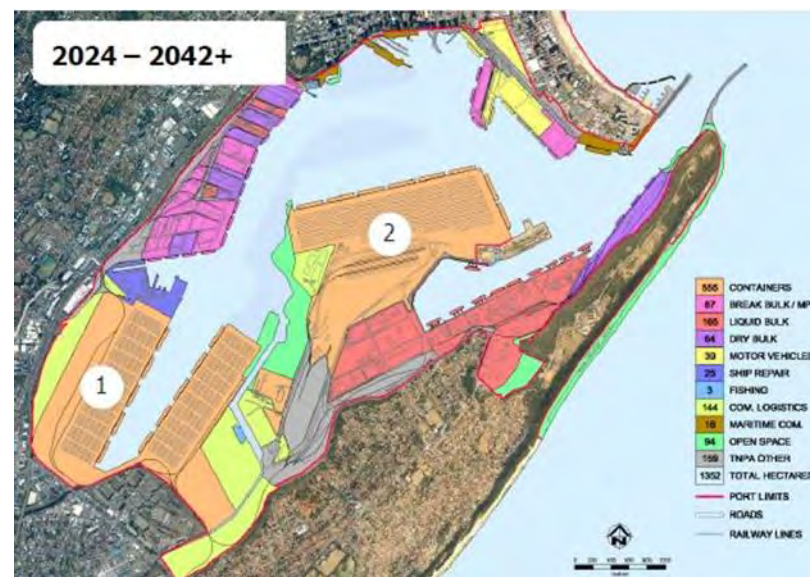
### Current Layout Plan



Pillay, (2012)

1. Point MPT and RoRo Terminal
2. Maydon Wharf – Dry/Break/Liquid Bulk Terminals
3. Bayhead Park – Ship Repair/Ship Building
4. Durban Container Terminals Pier 1 and Pier 2
5. Island View - Liquid Bulk Precinct
6. Bluff – Dry Bulk Terminal

### Proposed Long Term Layout Plan



Pillay, (2012)

1. Bayhead dig-out basin, with ten container berths and new terminals
2. Reconfiguration of Durban Container Terminals with infill and new operating method

#### **4.4 Situational Analysis**

The Back of Port Project is part of the Port of Durban expansion development, it comprises various land uses but the major land uses include Urban formal, General Industry and Noxious Industry under the South Durban Basin Area (LAP & LUMS, 2012). The study area consists of three areas of development, the Durban bay (Port of Durban), old airport site and Maydon Wharf (bayhead). The area also has ten urban formal residential areas (Clairwood, Rossburgh, Umbilo industrial, Jacobs, Mobeni, Congella, Merewent, Isipingo Rail and Prospecton) located within its boundaries.

Currently, the Port of Durban is the heart of eThekweni metropolitan economy and is considered Africa's busiest and largest container, vehicle and liquid bulk port and second largest within the southern hemisphere, behind Port of Santos in Brazil (Mather and Reddy, 2008). The port provides a full range of port services such as break bulk, dry bulk, ship repair, cruise liner, navy, fishing and recreational facilities to local Durban and KZN hinterland, as well as serving the Gauteng and Southern African hinterlands (Pillay, 2012). This means the port plays a major role within South Africa as the national and international gateway of goods and services from and outside the country including countries such as Europe, North America and South East Asia.

The Back of Port Project is part of the strategic way to strengthen the economic base of Durban via expanding the original Port of Durban, the new port is to be developed at the old airport site (Pillay, 2012). It also forms part of the Durban-Gauteng freight 2050 vision. This vision offer a resolution to the increasing expansion development requirements for the Durban to Gauteng freight corridor, which eventually will form the future foundation for the setting up of a Southern African regional freight network. (LAP & LUMS, 2012:45). The vision is also one of the backbone of South Africa's freight transportation network, as well as facilitating economic growth of not just Durban but for the county and the southern African region as a whole (LAP & LUMS, 2012:45).

The Back of Port Project development intersects with people and the environment, therefore it generates conflict between the developers and residential communities living surrounding the area of development especially Clairwood. This is the results of insufficient public participation in the Back of Port plan, which had little consideration of local people and its associated impact on surrounding/impacted communities (Dardagan, 2013; Hanekom, 2014; Dardagan, 2014;

Walford, 2014). The community also have to deal with increased air pollution, displacement, and some forced removal, arrival of crime, smuggling, prostitution, trucks that Clairwood, (which is one of the affected community) is already facing (Gedye, 2012). This has intensified the already existing melting pot of conflict between the competing economic, social and environmental needs within the South Durban area (Guastella and Knudsen, 2007, Jukuda, 2010). Furthermore the plan would benefit big businesses rather than the poor residing within the area (Dardagan, 2014). According to Desmond D'Sa the spokesperson of the South Durban Community Environmental Alliance (SDCEA) spokesperson the type of jobs that would be created by the port expansion project would be mainly temporary, menial and would not provide skills acquisition to the residential of Clairwood.

This draws to the conclusion that historical planning has a legacy, which continues to cause conflict in the contemporary times (Mather and Reddy, 2008:12). This firstly highlights the legacy of apartheid planning in South Africa, which resulted in a “check to jowl” situation between the port and its transportation with a large residential area that comes with problems. Secondly, it highlights the bias of planning in favouring economic development over social equity and environment. The port expansion is similar to the three cases discussed in chapter two where economic agglomeration is superior to people and environment. Thirdly it focuses on the ineffectiveness and insufficiencies of public participation in development plans taking planning worldwide and in Southern Africa.

#### **4.4.1 Public Participation in the Port of Durban (Back of Port Project) Plan**

Public participation processes of the proposed Local Area Plan and Land Use Management Scheme for the Back of Port interface Zone was conducted by Team Dynamix through the Graham Muller Consortium as confirmed in the interviews conducted with Back of Port project managers and key informants.

An examination of the Local Area Plan and Land Use Management Scheme for the Back of Port project reveals that stakeholder engagement of complex, diverse and various views of stakeholders has been conducted and taken to consideration and it is based on the 8 years of experience working with the Durban South Community (LAP & LUMS 2008). The stakeholder engagement was conducted through various public community consultation activities that were conducted to encourage public participation and stakeholder engagement. Stakeholder engagement and consultation process involves/and based on five phases (LAP & LUMS 2012);

### **Phase 1 – Preparation and Final Design**

The first phase involved the preparation and designing the project from scratch by the selected team members. The key team members included the Port Developers, City, Designers and Consultants.

### **Phase 2 – Alignment**

Involved two sub-phases, (a) the Executive and Political Alignment; to ensure effective, transparent and constructive stakeholder engagement, all parties were aligned in the process and potential outcome of this exercise. A number of meetings were held with the former City Manager and his direct reports. (b) One on One Meetings with Political Leadership/ Key Stakeholders. In terms of Arnstein's ladder of public participation in this phase; tokenism was the level of public participation used, which involved informing and consulting with the key stakeholders and individuals from the community.

### **Phase 3 – Expectations and Consultations**

- ⇒ A number of individual and group sessions were held with key stakeholders<sup>8</sup> to secure alignment of the process. A number of sessions were also held with the Clairwood Ratepayers Association (CRA).
- ⇒ In addition to speaking to the project design, more intensive discussions were held with relevant stakeholders on the status quo and actions that the Municipality needed to take to ensure proper compliance to the legislative and regulatory environment.
- ⇒ In the examination of the (SIA), the chairman of CRA emphasized two fundamental issues faced by the Community of Clairwood. One being the concern relating to uncertainty of Clairwood due to the non-deliverance of the Clairwood Precinct Plan. Two being the issues concerning the Clairwood zoned as Residential Only and despite this incompatible chemical industries and illegal activities (trucking) have infiltrated the area.

### **Phase 4 – Consortium and Municipality Workshop**

A number of sessions were held with the Consortium and the Municipality to align on the path forward and settle on a strategy for the design of the consultation and engagement process.

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<sup>8</sup>The names of key stakeholders and exact number of community residents attended cannot be confirmed

## **Phase 5 – Community and Stakeholder Consultation (60 day period commencing after committee approval)**

This phase includes activities that were undertaken to encourage public community engagement;

- ⇒ **Community Meetings:** there were x2 meetings with Clairwood community members
- ⇒ **Focus Groups:** the focus groups were facilitated by eThekweni Municipality and included the following members; Durban Chamber of Commerce (Business); Informal Settlements representatives/organization, Landowners in Clairwood; CRA (Residents Association). These focus groups were facilitated by the City
- ⇒ **Access to Back of Port project documentation;** documentation was made available at local libraries, the local Regional Centre and at the South Durban Basin ABM Office, flyers were distributed throughout the project area. Delivering flyers through rates and electricity bills, Design and place posters at strategic places throughout the Project area was also considered, Radio announcement was made in local radio station and a piece of article was included in the Metro newspaper. Comments boxes were made available in public areas such as libraries and regional centers. There are also plans to introduce a toll free number that will enable the community and other relevant stakeholders to submit comments easily and efficiently as confirmed by project managers.
- ⇒ **Conflict;** in almost all public meetings that took place there were disturbance in the progress of the meetings. In one of the meeting, the Port Developers were not allowed to present the project to the community. This was confirmed by both Project Managers and Community Representative. This is the result of conflict of interest between Port Developers and the Community of Clairwood and it shows the nature of the situation between these two parties. The following are some of the concerns and issues raised by the community members regarding the proposed Back of Port plan and comments from Port Developers (SIA, 2009);



## Community Views: Key issues raised by the community

Issues raised	Comments
Pollution from industries	<ul style="list-style-type: none"><li>➤ Reduce noxious, heavy and general industry wherever possible.</li><li>➤ Development of logistics zone along principles of sustainability and environmental performance is critical.</li><li>➤ Improved transport system will reduce pollution levels.</li><li>➤ Development of rail system wherever possible to improve environmental sustainability.</li></ul>
Danger from trucks	<ul style="list-style-type: none"><li>➤ Enhance safety and reduce trucking dangers. Provide buffers between new transport routes and residential areas.</li><li>➤ Create pattern of dedicated truck routes. Prevent trucks from transversing residential areas.</li><li>➤ Manage edges of new roads systems and residential areas through interface zones.</li><li>➤ New transport system which forms a key element of BOP interventions will have a significant positive impact on the above problem.</li></ul>
Social relocation	<ul style="list-style-type: none"><li>➤ Avoid relocation</li><li>➤ If implemented provide adequate compensation.</li></ul>
Sense of neglect/lack of trust in city	<ul style="list-style-type: none"><li>➤ Address legacy of neglect, show that the city cares.</li><li>➤ Build trust.</li><li>➤ Provide evidence of high levels of goodwill and commitment of residents to their area. Through democratic partnerships the city can build on and derive value from this goodwill and commitment.</li></ul>

### 4.5 Summary

This chapter discussed the geographical setting of the case study; Port of Durban (Back of Port) and considered the case study at the regional and local context. The chapter also discussed the historical analysis as well as the future perspective of the case study. In addition the chapter discussed the situational analysis of the case study with the intention of understanding the current state, issues and factors within the case study. Lastly, the chapter discussed the public planning processes that were undertaken in the initial plan of the Back of Port project, furthermore linking those public planning processes with Arnstein's ladder of public participation to examine the extent of public participation in the Back of Port project.

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## **Chapter Five: Discussion of Results and Analysis**

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### **5. Introduction**

This chapter presents the findings and analysis of Public Participation and Conflict in the preparation of Port of Durban Expansion Development Plan: Back of Port Project, eThekweni. The aim of the research in the Back of Port project was to understand the extent to which participatory planning as an approach facilitates and encourages public participation in urban spatial planning projects and minimizes the conflict between developers and residents. The main hypothesis of the research was that adequate and effective public participation would minimize individualist interest and create a platform for collaborative understanding between Port Developers and Residents of Clairwood.

The first part of this chapter identifies the factors that influenced the expansion of Port Durban. The aim is to understand the reasons and factors behind expansion of Port of Durban and other ports in post-apartheid South Africa. The second part identifies the type of conflict between Back of Port project and Residents of Clairwood and the challenges of the implementation of the Back of Port project. The aim is to outline the type of conflict that exist between Port Developers and Residents of Clairwood and also to understand the possible impact of these challenges on Clairwood and its local community. The third part examines the extent to which public participation was undertaken in preparation of the Back of Port project plan. The aim is to establish the extent to which the views of the public were incorporated in the plan for this project. The responses were collected from project managers working on the Back of Port, planning consultants/practitioners working on the Back of Port, civil activists advocating for social rights and community representatives and community members residing within the Back of Port development area.

#### **5.1 Drivers of Expansion of Port of Durban**

The 21st century and the forces of economic globalization are factors resulting in growth global trade, investments and movement mobility of all factors of production across local and international boundaries (Rondinelli, 2004). The demand globally for fast distribution of information, goods and services from one place to another requires companies all over to use an active business practice and integrated logistics systems that would allow information, goods and services to delivered fast and at a larger quantities. The forces that shape the economies of urban areas in this era have led to profound changes in the world economy, which consequently affect South African cities, as they have to compete in the global market. In order

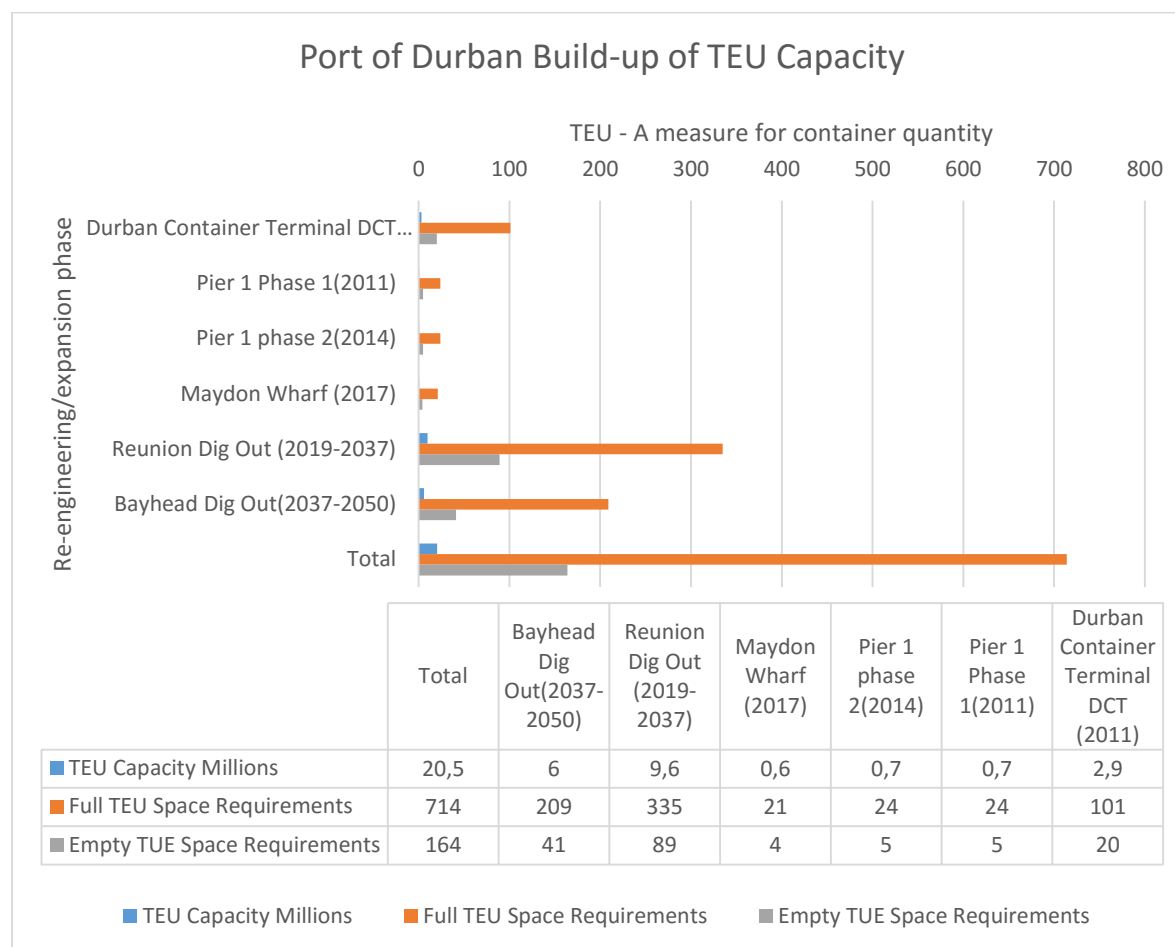
to compete with other countries, nations and cities, the city of Durban must have a port that is efficient, logistic infrastructure that is sufficient as well as well-developed and established inland transportation routines such as roads and railways. If these resources are not well established it is within the port authority in joint with city to expand the port in order to compete in a global economies (Rondinelli, 2004).

#### **5.1.1 Current Logistic Trends and Constrains**

The Port of Durban has two major roles, firstly its plays a key role in the regional economy of Durban and secondly as well as that of the South Africa by being the international gateway for Gauteng region, which is the main economic hub of South African economy through the diverse port facilities it offers (Mather and Reddy, 2008:2). The port of Durban mainly focuses on both general and bulk cargos. The port's cargo consists mainly of container and unitised bulk (vehicles) which require large-scale manoeuvring and sophisticated cargo handling facilities and storage (Maharaj, 2013). Over 4500 commercial vessels call at the Durban port yearly, there has been a rapid growth trend in terms of containerisation, with little growth in other areas of cargo volume which results into problems of capacity (Maharaj, 2013:6).

A project managers working on the Back of Port project interviewed stated that currently there are 2.9 million containers in the Durban Container Terminal (DCT). These are going to increase by 700 thousand yearly, eventually by 2050 will be looking to 20.5 million containers coming in to the port that is why there is a need to expand the port (see figure 10). Containers are imported and emptied in Durban, then taken to an industrial areas in Pinetown, Hammersdale and Pietermaritzburg before they are distributed throughout the country to places such Johannesburg. Therefore there is a huge need for space for both full and empty containers. Secondly, one needs to note that Durban Port imports raw materials such maize, wheat, fertilisers, grain, liquids, steel, timber, pipes, granite, fruits, these requires huge space for packaging and this is some of the reasons the port need to expand.

**Figure 10: Current Logistic Trends in Port of Durban**



**Source: Researcher (2014) based on Port of Durban Logistic Trends (Back of Port Template)**

Above figure 10 is summary of the current logistic trends in the Port of Durban;

- ⇒ According to the Back of Port project managers approximately 75% of all containers shipped and landed at the Port of Durban do not leave eThekweni Municipality.
- ⇒ Approximately 80% of all cargos from these containers leaves eThekweni Municipality
- ⇒ There are 1320 logistics companies in eThekweni Municipality, 1021 are trucking related
- ⇒ More than 50% of trucking related logistics companies are situated within 15km of the DCT.
- ⇒ Three biggest warehouses (Riverhouse Valley, Westmead and Southgate) are located with 30km of the Durban Container Terminal.

Project Manager (1) interviewed reported that “In terms of tourism, everybody likes to go on the Queen Mary, everybody likes to cruise with the coolest cruise to these island. These ships are not South African ships, but are model ships; therefore there is a need to accommodate them. These new model ships are deeper, wider and bigger for example Panama. In addition if you want to be the key player in global market you have to change and spend money” Project Manager (1) interviewed stated. Interviews with the project managers highlighted the lack of space to accommodate increased demand, therefore the Port of Durban needs to be expanded in order to retain business and be globally competitive. This is in line with Rondinelli, (2004:5) and Wu’s (2011) arguments on external and internal drivers and factors (discussed in chapter two) that influence port development in the 21st century. The reasons for the expansion of the Durban port speak mostly to the factors of competition that requires one port to mainly gain more cargo than other ports provided that it has proper and adequate logistic infrastructures.

## **5.2 Conflict and Challenges in the Implementation of the Back of Port Project**

At the heart of the Durban economy is the Port of Durban., the Port serves the South African Development Community (SADC) region and it is the major influence on the broader economy of this region (Maharaj, 2013:4). The construction of the Back of Port Project includes expansion of Durban port is the extension of what Jukuda, (2010) referred to as expansionist perspective<sup>9</sup>. This perspective is of the view that ports have been part of a human activity for centuries and have functioned as a channel for wealth for nations and states across the world (Ross, 2010). This perspective support infrastructural economic imperatives to maximise economic development thus create greater pool of employment.

Local residents in Clairwood are against the Back of Port project based on the ecological perspective, whose view considers and believes in environmental protection and social equity. This perspective supports participatory process for local growth and development. The rationale behind the opposition or critiques of the port include the flawed participatory processes, destruction of small scale farming and long standing neighbourhoods (with thousands of displacements; major ecological problems in the estuarine bay; climate-change causes and effects; and irrational economics fuelled by overly generous state subsidies but still resulting in an unaffordable harbour) (Bond, 2014:1).

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<sup>9</sup> This perspective supports the conventional economic imperative to maximize economic production and it is linked to the economic efficiency of industries.

### **5.2.1 Conflict of Interest: Port Developers and Clairwood Residents**

The construction of the Durban Port is a strategic way to strengthen the economic foundation of Durban. It is part of the Durban-Gauteng 2050 vision that is based on providing a resolution to the increasing expansion development requirements for the Durban to Gauteng freight corridor (LAP & LUMS, 2012:45). This development makes an economic case for the Port of Durban is based on production, employment and economic growth. It suggests that ‘project affected persons’ will benefit from these effects and compensation can be planned for.

In line with the expansion of the Port, the Project Manager (2) interviewed stated that Clairwood had been declared an industrial Area since the 1960s. The area will be rezoned for logistics, people who have household can still stay there, those who actually want to move can move. The project manager’s argument is based on the fact that, 80 percent of Clairwood’s local people have sold their property to various trucking companies for money and these properties according to eThekweni municipality Town Planning Scheme are no longer permitted to be zoned as residential area. Therefore eThekweni Municipality states that if they want to continue to live and have businesses within their property, they have to rezone their property from Residential Only to Logistic Zone that both permit residential and business within a property.

Community Representative (1) interviewed stated that “there is serious conflict of interest with Port Developers that perpetuate a top-down approach. He argued that “project managers and planners come with the ideology of economic development, individualism and already made up visions and plans ready for implementation”. The alternative new model (bottom up approach) needs to be developed where jobs are created through manufacturing industries instead of importing goods from China, Taiwan, Indian and Japan. “We need to create jobs here that our mothers and fathers are aware of, where they created leather industry and vibrant economy”. “We used to create millions of jobs, we need to get back”. “We need the new government to know that the new ways are not benefiting people and the communities, but benefiting very few people at the expense of people”. Civil activists argued that the risks associated with this economic planning error (white elephant project) results in ecological dangers and social upheaval.

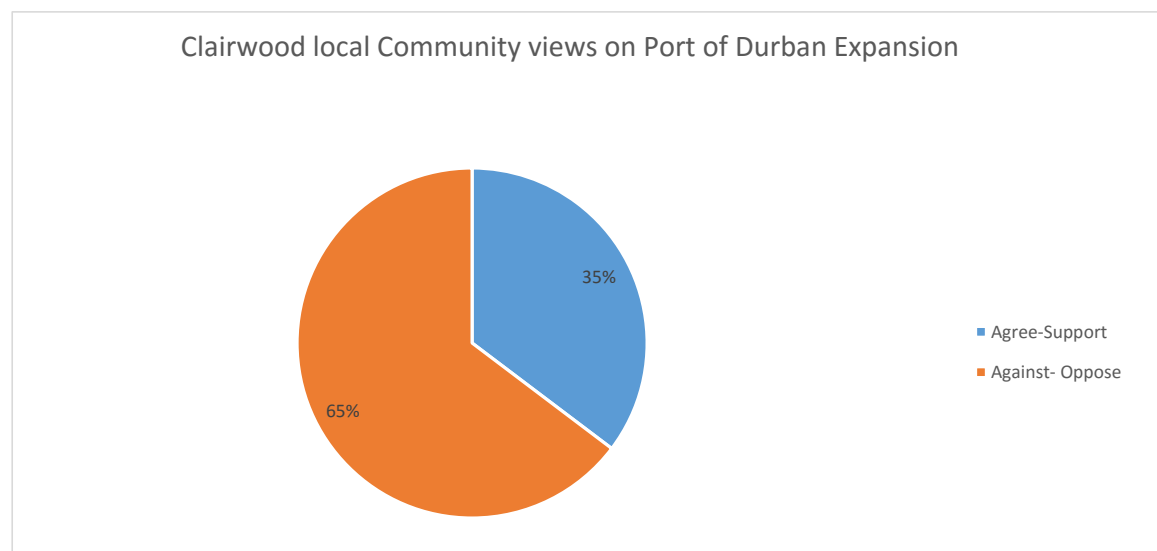
The objectives of the two parties namely; Port Developers and Clairwood Local Residents are clearly different with respect to the Back of Port Development, which lead to conflict of interest between them. The researcher argues that one can agree that local production and

manufacturing is highly relevant and essential particularly in a developing country such as South Africa. Since there will be local production there will be no need for high volume of imports and no need for expanding Port of Durban. However we live in the modern 21<sup>st</sup> century in which it is impossible to resist change. No man lives on an island, we live in one global community, which means there are things that South Africa will need from other countries therefore in this case there is a need for the expansion.

### 5.2.2 Possible Impacts of the Back of Port Project

According to the project managers of eThekwin municipality that were interviewed, the Back of Port project will create lot of jobs during construction and after construction, thus increase the GDP of the country. Representatives of the Community agree that jobs will be created however these jobs are not long term and sustainable rather they will be short term jobs and will only benefit a small number of already well off individuals. Based on the sample of this study, 65% of local community members residing at Clairwood are against the development of the Back of Port project and 35 % of them have been living in Clairwood for more than five years (see figure 11 below). The findings also reveal that the local community has a strong cultural bond with the area (63%), which makes them more attached to the area. The consequence of this project will impact on the wellbeing of the local people according to the Community Representatives interviewed.

**Figure 11: Clairwood Local Community Views on Port of Durban Expansion**



Source: Researcher's own graph, 2014

## **1. Displacement**

According to approximately 34% of the local residents, the main consequence of the Back of Port project will be the displacement of community members of Clairwood and other affected areas within the Back of Port project. Reports on displacement has brought panic and uncertainty amongst local residents who also fear increased pollution, crime, relocation and homelessness. This will be the second time people of this area are displaced after the apartheid government once forcibly relocated residents there to attract a pool of cheap labour for the then emerging industrial economy (Community Representative 1) interviewed reiterated. In other words these people are not needed to provide their cheap labour in this huge development project as these would not have a high demand of manual labour. Civic Activists interviewed likewise argued that this is a violation of constitutional human rights. However the project managers interviewed emphasised that no one will be removed from their homes. They added that it was only those who wished to move can leave and even sell or invest their properties to the municipality. The port will only be upgraded within the Transnet area hence it will not affect residents and their homes the Project Managers explained. The community acknowledges that they will not be moved however the local community feel that they will be forced to move in an indirect way because they may not be able to stand the pollution and the bad conditions they would be living under. In other words it was safe for government to say no one will be moved while they know that the poor condition will force people to sell properties and leave.

## **2. Pollution and Congestion**

The other issue highlighted by the approximately 20% of the community members was that there will be a continuous effect of air pollution and the increased number of road accidents created by trucks in the area. According to Jukuda, (2010) there are more than 100 industries operating in the South Durban Area, therefore the construction of the Back of Port is an additional burden. In terms of congestion it has been observed that there has been growth in the number of trucks in the area of Clairwood. It has been reported that an increase in the number trucking in the area could lead to rise on of HIV/AIDS, shebeens, and an increase in crime rate in the area as confirmed by the Community Representatives (1) interviewed.



### **3. Cultural degradation**

Approximately 62% of the people residing within the Clairwood area have cultural ties with the area. Community members feel that with relocation and coming of the project will cut their ties with the area. Some have resided in the area of Clairwood for over 20 years hence it is special to them. One community member stated that they have religious bond with the area, (Stri Siva Soobramaniam Temple, Clairwood Boys' Primary School and St Louis Catholic Parish) are some of the major facilities highlighted by the community representative serving the community and having a rich culture and history of more than 100 years. Relocation means finding new churches, schools and starting all over again. The researcher's argument is that even though there are laws such as a National Heritage Resource Act 25 of 1999 that protect people's culture, there are still challenges with the implementation of these policies that further threaten people's culture and hence sustainable development is not achieved.

### **4. Economic Growth and Employment**

The Project managers interviewed and a few local community members (35%) opined that the expansion will have a positive economic impact in the area. They all agreed that the project could absorb a larger number of unemployed people within Clairwood, which will benefit the local people particularly living in tin houses within the Area. Secondly they believe that this will revitalise the decaying town of Clairwood, hence Back of Port is viewed as an antidote that will rejuvenate the area. Counter arguments by the opposing view was that jobs that will be created will not last as a result community members cannot rely on those jobs that will not be sustainable. Local employment will only be created during the phase of construction, after construction only a few people will be required to run the day to day tasks. This poses a question of what will happen after the construction phase is over. Will people go back to being unemployed and live in poverty? In other words the jobs that will be brought by the project are not sustainable which is why the majority, 65% of the residents argue against this project. This was one of the concern raised by community representatives interviewed.

#### **5.2.3 Protest: Reaction to the Port Expansion (Back of Port Project)**

The government's strategy to strengthen economic base of eThekweni via the expansion of Durban Port through BoP project has again come under fire as it is perceived to be continuing perpetuating expansionist perspective over ecological perspective in the South Durban area. In line with Jukuda's (2010) findings in South Durban Basin area, local community members continue to have adversarial relationship between Port Developers and the government. The community is fighting against the Durban port expansion, which they believe will have a major

negative impact on the already difficult lives of residents. Residents have highlighted their dissatisfaction, frustration and opposition towards the project presented by the eThekwin Municipality in partnership with Transnet; Port Developers. The local community, community leaders and associations back in 2012 held mass protests against port development. Most recently, in 2014 an even bigger than before protest, joined by community in and around Durban was held citing the perceived refusal to accommodate the concerns of affected surrounding communities and non-existence of public participation. The protestors sought to highlight their anger with a public demonstration of solidarity and by handing over a memorandum to Transnet and the eThekwin Municipality (see photo 1 and 2).

*Photo 1: 2012 Protest Organised by SDCEA*



Photographs: by Dardagan, 2013

*Photo 2: 2014 Protest Organised by SDCEA*



Photographs: by Hanekom, 2014

According to the civil activist interviewed, Clairwood area is a “special old Indian area that is diverse, consisting Indian residents in the majority of the area and Africans residents residing in temporary tin houses and shacks. The problem is that the trucks are moving into the area; kicking ordinary people of the area, operating trucking facilities 24 hours, creating pollution and danger. These are violation of human rights”. This is based on the notion of sacrificing the many for the benefits of the few, which is a clear violation of the constitutional right of the citizens of the republic of South Africans. In terms of the constitution of South Africa section 24 (Act 108 of 1996) everyone has the right to:

- (a) an environment that is not harmful to their health or wellbeing; and
- (b) have the environment protected, for the benefit of present and future generations, through reasonable legislative and other measures that:
  - (i) prevent pollution and ecological degradation;
  - (ii) promote conservation; and

(iii) secure ecologically sustainable development and the use of natural resources while promoting justifiable economic and social development.

It is a constitutional right that grant the Community the rights to protest against development that violate their rights. A Community Representative (1) interviewed stated that “Madiba in his wisdom made sure the check and balances via the constitution, he came to South Durban and told us the community that we should not be afraid to stand out, due to those who do not want to listen and those who think they are going to oppress us like those in the past.”

According to the Community Representative (1) interviewed “Despite the Madiba wisdom in 1994, the beginning of 2009 government started to use the apartheid practices. The government continues to build white elephants<sup>10</sup> such the Moses Mabhida Stadium, uShaka Marine World, International Convention Centre (ICC) and newly built KwaZulu Natal’s King Shaka International Airport together with Dube trade port. And the Community see no direct benefits to these project in their lives.

In order to achieve sustainable development, it should not be harmful to anyone, or violate the human rights of the people of Clairwood, all relevant stakeholders, Port Developers involved: Transnet and eThekweni Municipality, local community, civil activists, community representative, associational and planners have to plan development in a more collaborative manner that includes everyone, benefit the majority and create long term jobs. This argument is based on the findings that the exclusion of other relevant stakeholders create an unpleasant environment for the Community and Port Developers’ thus creating further conflict between South Durban residents and eThekweni municipality which results in mass protests.

The conflict between Port Developers and the Residents led the researcher to conclude that it is a conflict of interest, which is driven by two different objectives of two parties; the top down, expansionist perspective for economic development and the bottom up, ecological perspective for environmental protection, social equity and cultural vitality. This is also perpetuated by the lack of collaboration between the Port Developers and residents in Clairwood.

The Port Developers uphold the top down approach based on maximising economic development that will lead to job creation and development which will benefits Durban and KwaZulu Natal as a whole, thus reduce poverty. The community however believe in a bottom up approach, which focuses on people and the environment first before economic development.

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<sup>10</sup> White elephant is funny English word meaning waste of money.

This bottom up approach was to be achieved via creating local development, creating local manufacturing via local farming, basically localising everything rather importing goods from outside countries.

It is against the background, which sought to establish the question; the nature of conflict between Back of Port Project and Residents of Clairwood and challenges of the implementation of the Back of Port Project. The researcher argues that given the situation, collaborative planning with effective public participation is necessary. Collaborative planning images and planning principles enable all stakeholders to have a say in development. It enables all stakeholders (State, private, public and importantly citizen) to take part thus contain the contest of others stakeholders through public participation (Bugg, 2012:1). Furthermore Collaborative planning acts as a planning approach that reconceptualise these planning functions to advance a balance between the goals of planning and also between the two parallel goals: economic growth and ethno-national identity. In order to achieve good governance, there is a need to find better ways of resolving the conflict through effective public participation. The researcher argues that public participation through collaborative planning is capable of integrating opposing views and minimizing conflict for the purpose of creating a platform for good governance thus “eliminating” challenges at the implementation phase of the Back of Port Project.

### **5.3 Public Participation and the Back of Port Project Plan Preparation**

Public participation in the South African context is in line with the post 1994 spatial planning practices and legislation that promote development for all that is integrated and sustainable. It includes bottom up approaches and people-driven developments that aim to involve and empower the community through the Reconstruction and Development Program (South Africa, 1994). The country’s constitution recognises that all national, provincial and local government spheres cannot work independently of each other and also cannot afford to exclude the citizen/public in development taking place within the post-apartheid South Africa. In keeping with South Africa’s constitutional principles, the government particularly the local government (Municipalities) at local level must share information and consult with public stakeholders in developmental projects taking place. Constitutionally, the people of Clairwood together with affected stakeholders should be encouraged to participate in the Back of Port project, to the extent that they are involved in the initial planning phase of the project. The main focus of this study regarding the extent of public participation within preparation of the Back of Port project plan, stakeholder engagement and consultation processes, and the setting of an environment

for effective public participation at the planning phase, designing phase and implementation phase of the Durban port expansion (Back of Port project).

The majority of the local residents argued that despite the public stakeholder engagement with the developers, they feel it was not a healthy engagement platform and that there was not sufficient participation from their side as a community because they were not included right from the initial phase to the implementation phase of the project leading to the final decision of the “Back of Port Project” which does not reflect the objectives of both the Port Developers and the community.

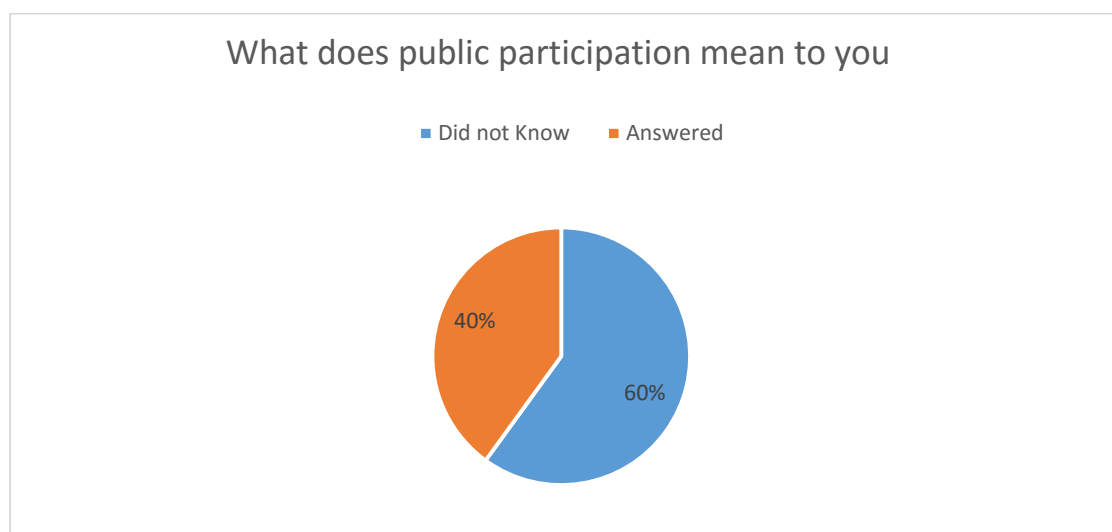
### **5.3.1 Meaning of Public Participation**

Public participation is regarded as a tool to combat history of exclusion in South Africa, improve democracy and a move towards inclusion of communities in decision making (de Villiers, 2001). Community Representative (1) interviewed defined public participation as means of development that start from the ground, that must be meaningful, informed, and in different languages, languages that people must understand, people speak and it cannot be done in a short period of time. Project Manager (1) interviewed on the other hand stated that public participation meant creating a platform that would allow the public to engage in an inclusive manner in order to voice their views regarding the development taking place in their area. One community member interviewed stated that public participation is “partaking in decision making in the community”. These views are in line with Pacione’s (2014) definition of public participation which he views as a political principle and practice that seeks and facilitates the involvement of citizens potentially affected by, or interested in a decision.

In spite of a general consensus amongst all respondents (including the community members interviewed) regarding public participation as a fundamental and necessary process that allows an opportunity for the community to express their views on developmental projects. The findings also revealed that some of the community members did not understand the term “public participation”. When community members were asked; *what public participation mean to them*” more than half (60%) of the total sample of this study did not know and were not sure of the term. (See figure 12 below)



**Figure 12: Meaning of Public Participation**



Source: Researcher's own graph, 2014

### **5.3.2 Stakeholder Engagement and Consultation Process in the Back of Port Project**

The stakeholder engagement and consultation process was identified as an important theme in the analysis of public participation in the BoP project. It was undertaken in 5 phases. From the type of consultation process and the stakeholder engagement we can deduce how effective public participation was in the BoP project. Innes and Booher, (2004) highlight the importance of collaborative public engagement in practices as an alternative method that can better meet public participation goal. Through public participation processes relevant stakeholders can influence and share control over development initiatives, decisions and resources that affect them. The section that allows present the results of the analysis of the method of stakeholder engagement and consultation process in the planning of the BoP project.

There were five phases of engagement that were designated for the Community of Clairwood and relevant parties in the Back of Port. These parties included the community, Clairwood Rate Payers' Association (CRA), South Durban Community Environmental Alliance (SDCEA), officials from eThekwinini municipalities and consultants. EThekwinini Project Manager (2) interviewed stated that:

*We wanted to create a platform where they could engage, part of this engagement was about on what the planning was suggesting and recommending, but based on what the planning was recommending we wanted to engage about the implementation; how does the community feel they want this to happen?, to property holders, how do they want to*

*see this happen. This is one of the things we were trying to engage on, but unfortunately we were not given an opportunity.*

The method of discussion used to engage with relevant stakeholders was undertaken through a series of meetings with community members and representatives. The second method was through a number of focus groups discussions with Clairwood Rate Payers Association, informal settlements representatives/organisation, and land owners in Clairwood. The third method was through open forums, which were a little more successful because people were allowed to come anytime to query about given issues and concern and to share information. Other than the above mentioned methods, access to documentation regarding the Project was made available in every single households both in isiZulu and English, two official languages for the eThekweni municipality. Documentation in the form of templates, flyers, and the Metro newspaper was also made available at local libraries, local regional centre, South Durban Basin Area Based Management (ABM) office and they were distributed throughout the project area. The engagement process started in July to August, a total of 60 days of engagement process. This extended to November in order to allow for more time. This contradicts the definition of public participation as stated by the Community Representative (1) interviewed who pointed out that public participation cannot be done in a short period of time. This highlighted the lack of communication between two parties and the extent of engagement that has taken place in the BoP project.

The municipality representatives attended only one public meeting out of many that were held by the community. One of the project managers reported that during the meetings people would disturb the progress of the meeting by saying things like “*we shall not be moved, we shall not be moved and we never allowed nor giving an opportunity to respond to some of the unclear questions*”. The reality is that the City is trying to create a platform for engagement with the broader community in order to ensure that everybody is informed so that people can make an informed decision, however they were not given an opportunity to voice their concerns to the broader community as these were not just people that were handpicked because those people start to manipulate information and must speak to everybody” according to the Project Manager (2) interviewed.

#### ***5.3.2.1 Public Participation in Planning, Design and Implementation phase.***

The Social Impact Assessment (SIA) report that inform a planning process for development of BoP indicate that interviews were held with the councillor of the Clairwood Ward regarding



the key issues, challenges facing the Clairwood area, to describe the activities that take place in the area and how these impact upon or enhance the social environment, to comment on quality of life in the area and on the services and facilities available here. Councillors were asked to describe the key businesses and industry in the area and to identify key projects they were involved in to uplift the area. They were requested to discuss transport issues in the area and to identify key social networks and describe levels of participation in their ward. Councillors were asked to comment on what they and their constituency knew about future plans for the Port.

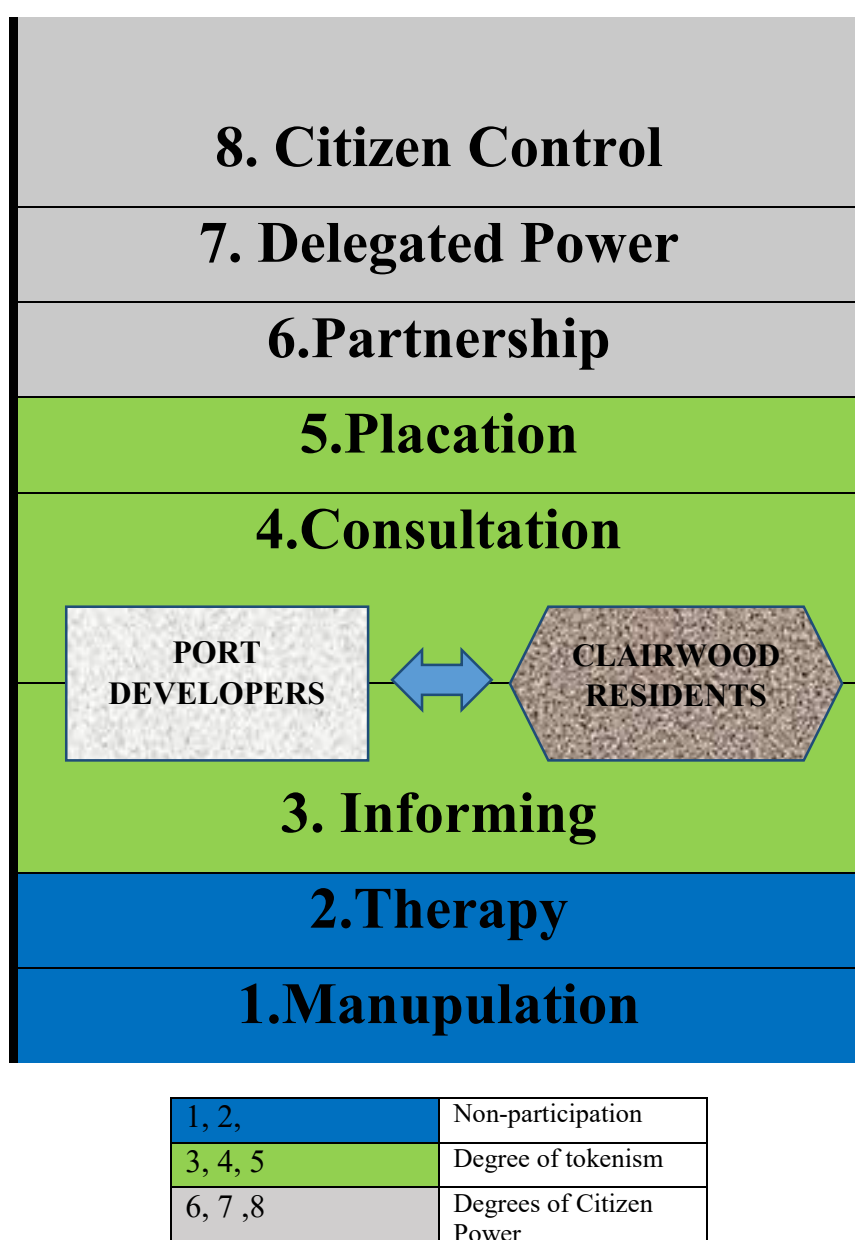
### **5.3.3 Effective Public Participation**

Aregbeshola (2009) argues that there is no universally accepted definition of the word “effectiveness” in literature however the condition which causes a process to be effective in one society or situation may not be applicable in another. Jain, Urban, Stacey and Balbach (1993) cited on Aregbeshola, (2009:40) assert that effective public participation involves providing the community with adequate and timely information, providing equal access to decision-making processes, that is the public must be involved in problem identification and other discussions. It should provide members of the public with implementation powers and that the final decision should reflect the objectives of the project proponent and those of the public.

Based on the evaluation of the setting of an environment for effective public participation at the planning, design and implementation phases of the BoP project that there, it was found that stakeholders did not understand the meaning of public participation. 60 percent of the community members interviewed did not understand the meaning of “public participation (see figure 13 below). Secondly it was found that the extent of public participation was uneven as it was inadequate and did not materialise at all in some phases. This research found out that during SIA that informed the planning process for the development of BoP, there was public participation however community members were only allowed to identify key issues, opportunities and constraints of the social environment within which the Back of Port zone is situated. This was also included in order to develop social enhancement plans to maximise the social opportunities and to minimise the social costs of the Back of Port zone(s) under a number of alternative scenarios. The research also found that in terms of engagement and consultation processes, there was no effective participation as a means public participation and the meetings were too few. During the engagement process some stakeholders like Port Developers were not allowed to present their proposals. This highlights the mistrust and lack of a healthy

communication platform between the different stakeholders. This was confirmed by the Port Municipal Managers and the community members interviewed. Sadler (1996:37) states that effectiveness is defined as "something which works as intended and meets the purpose for which it is designed. The above mentioned arguments clearly does not reflect effectiveness within the BoP context.

*Figure 13: Extent of Public Participation in the Back of Port Project*



Extent of Public Participation in the Back of Port Project within the Eight Rungs of Ladder of Citizen Participation modified by the Researcher (Source: Arnstein, 1969)

Arnstein (1969) argues that in any development projects there are gradations of participation in terms of the degree of power or control, participants can shape the outcome. The gradation of participation in the BoP project reflects a degree of tokenism; informing and consultation (see figure 13). This research found out that community members of Clairwood were allowed to attend and voice their concerns however their views and comments had little influence on the projects that could benefit them. The research also found that there was a lack of understanding and collaborative participation between Port Developers and Residents of Clairwood which led to conflict of interests. There is no information provided which shows that the public was involved in the design phase of the Project. The community had no full control of the development. All this is in line with Arnstein's (1969) assertions that there is no absolute power that can be exercised by the community with regards to development projects.

#### **5.4 Summary**

This chapter's findings reveal that there are indeed internal and external factors such as global demand for fast distribution of goods and services that influence the Port of Durban expansion. This chapter also reveals that there are indeed challenges in the implementation of the Back of Port Project. From the findings, it is clear that there is conflict of interest between the port developers and local residents. It is also evident that even though there were some form of public participation that was applied such as discussion methods; meetings, focus groups and openly forum and consultation processes for public participation, the extent to which they were involved is minimal and limited.

## **Chapter Six: Summary of Findings, Conclusions and Recommendations**

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### **6. Introduction**

This chapter is separated into three sections, the first section summarises the research's main objectives, and questions as well as the findings of the study (see section 6.1 below). The second section presents the conclusion (see section 6.2 below). The third section presents the recommendations (see section 6.3 below).

### **6.1 Summary of Findings**

The study set out to examine the role of participatory planning as an approach in facilitating effective public participation in urban spatial planning projects and minimizing conflict between developers and residents. This was done through the examining the following objectives; factors influencing Port of Durban expansion, challenges of the implementation of the Back of Port project, conflict between Back of Port Developers and Residents of Clairwood, and the extent of public participation in the Back of Port Project plan.

#### **6.1.1 Factors affecting Port of Durban Expansions**

The aim of identifying factors affecting the expansion of the Port of Durban was to contribute to our understanding of the possible impacts and the challenges therefrom. It was established that since the inception of democratic government in 1994 in South Africa, there has been a strong political and economic foundation created in the country that led to an improved global trade between South Africa and other countries. The exponential economic growth brought about a substantial increase in KwaZulu Natal harbour port's import and exports. Currently the port of Durban has approximately 2.9 million containers and based on extensive projection research it is going to increase by 700 thousand yearly; eventually by 2050 it will accommodate up to 20.5 million containers coming in to the port. With all this in place, the current layout of the Durban port suffer from capacity insufficiencies, therefore needs to upgrade and expand in order to improve the safety of the berths as well as to improve the efficiency of the Port.

The findings of this research revealed that there are indeed external and external factors that perpetuate the modernisation and evolution of ports not only in South Africa but worldwide and there is also indeed the need to expand the Durban Port (refer to section 5.1). However South Africa is an exception compared to the countries due to previous government planning

and exclusion of the majority in development, therefore there are factors (public participation, suitable location which will not harm the environment, health, social and displace people) that need to be considered for the success of the expanding port and the implementation of the Back of Port project.

### **6.1.2 Conflict between Back of Port Developers and Residents of Clairwood,**

With regards to the conflict between the Port Developers and Residents of Clairwood, these two stakeholders have conflict of interests; Port Developers support infrastructural economic imperative to maximise economic development thus create greater pool of employment (refer to section 5.2). This is an expansionist perspective that views ports as part of human endeavours for millennia which function as conduits of wealth and prosperity for many of the world's cultures, both ancient and modern. On the other hand the Residents of Clairwood advocate for effective public participation and bottom up development that would create local jobs, manufacture locally instead of importing goods from other countries. This is the ecological perspective that view and support environmental protection, social equity and cultural vitality.

The research found that there are possible challenges with regards to the Back of Port project. The major consequence of this project will be the impact on the wellbeing of local people residing in Clairwood. Displacement, cultural degradation, pollution and congestion were the major impacts highlighted by community members of Clairwood. According to civil activists these factors are not only unacceptable in this day and time but they are also a violation of human rights. This is more relevant in Clairwood because of the area's removal and exclusion history.

### **6.1.3 The Extent of Public Participation in the Back of Port Project Plan**

In investigating the extent to which public participation was undertaken in the Back of Port, the study assessed the stakeholder engagement and consultation processes of the Back of Port (refer to section 5.3). This was done through examining stakeholder engagement and consultation at the planning, design and implementation phases of the Back of Port project with particular focus on the expansion of Port of Durban. The research found that there were five phases of consultations processes and engagement methods that involved a series of meetings, focus groups, openly forums with relevant stakeholders including the community members. With regards to Arnstein's (1969) ladder of citizen participation, public participation in the Back of Port project was only limited to informing and consulting. The extent to which

participation was undertaken suggests that the kind of public participation that materialised was not effective and sufficient.

In order to minimize individualistic interests and create collaborative mutual understanding between all relevant stakeholders in the BoP project, it would have been ideal to create a platform for effective public participation, for both interested parties who have interest in the outcome needs to collaborate in face to face dialogue (Inners and Booher, 2000:18). This can be achieved through collaborative methods by creating a collaborative network paradigm for citizen participation.

## **6.2 Conclusion**

With regards to factors of spatial planning projects, particular port expansion in the 21<sup>st</sup> century and post 1994 in South Africa, the research found that there are internal and external factors (international trade, competition, and hinterland and government policies) that influence port development within this regime. These factors are supported by government policies in South Africa with hope to gain economic development and to create employment opportunities through international links and stable relationships with other countries post- apartheid era. At Municipal perspective, the Back of Port Expansion Project would benefits the City of eThekwin in terms of economic growth, strong international links, thus create employment for local residents of eThekwin and surrounding areas. However, for the Residents of Clairwood cannot be the same. The expansion project will cause serious impact such as displacement, pollution and congestion, cultural degradation to the poor living around proposed Areas of Development.

The study's analysis on Conflict of Interest between Port Developers and Residents and the challenges of port expansion highlights different perceptions with regards to how the area needs to grow and what approach to adopt that does not perpetuate conflict. The construction of the Back of Port is supported by the expansionist perspective using a top down approach whereas the opposition of the Back of Port project is supported by the ecological perspective using bottom up approach. In spite of Port Developers knowingly the consequences of this project to the Clairwood Residents, they continue to ignore the grievant of the community. The major consequence of this project will be the impact on the well-being (displacement, cultural degradation, pollution and congestion) of local people.

In terms of inclusion of the public in the Back of Port project, the research conclude that even though there were discussion methods (meetings, focus groups and openly forum) and

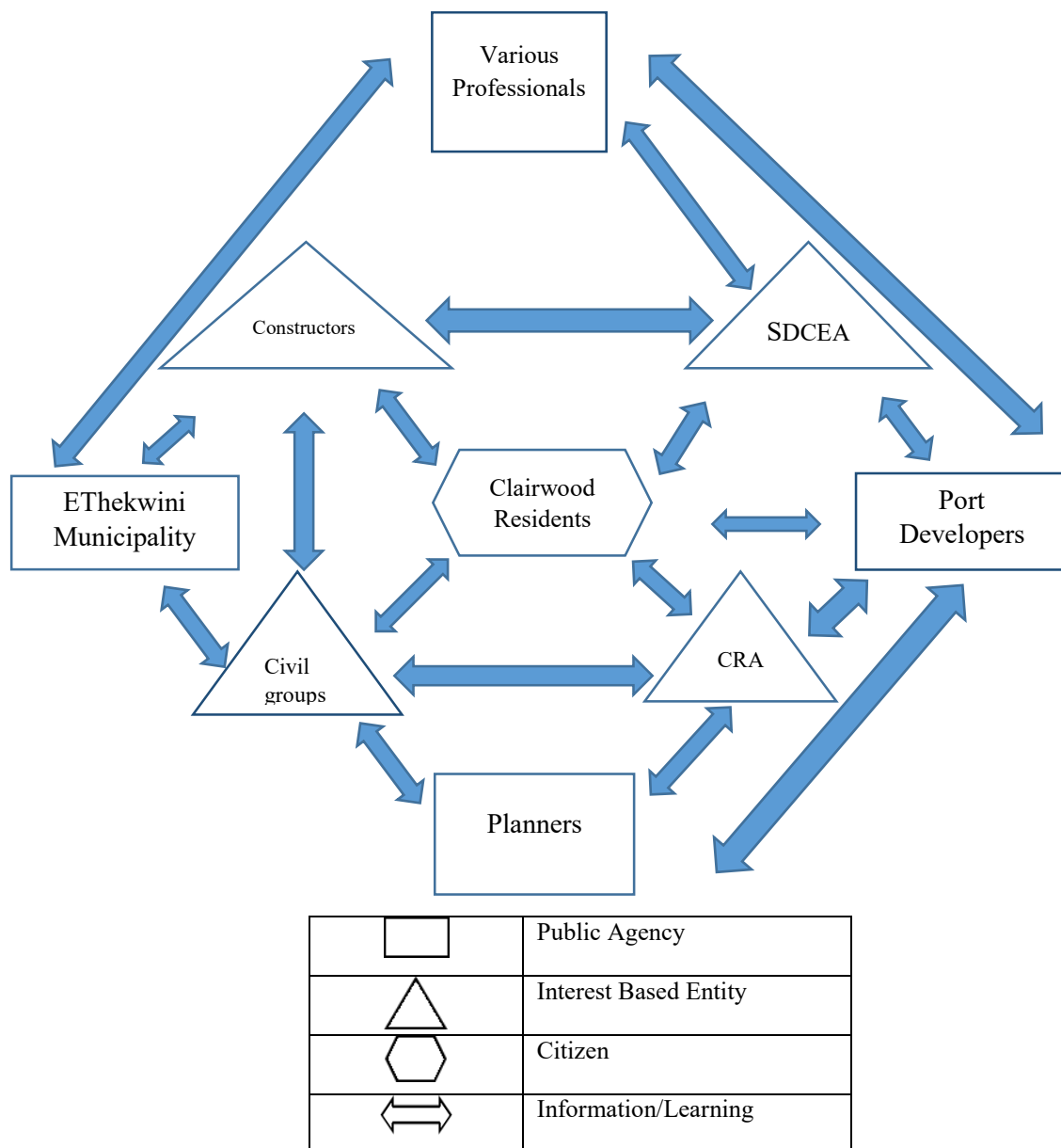
consultation processes (five phases) for public participation, the extent to which they were involved is only limited to informing and consulting in terms of Arnstein's (1969) ladder of citizen participation – insufficient and ineffective. These two phases in the case of the Back of Port are flawed because are not combined with other modes of participation, meaning that they did not work because the public was only consulted at the planning phase not in the initial design and development (start) of the project.

## **6.3 Recommendations**

### **6.3.1 Collaborative Network Paradigm for Citizen Participation**

The researcher recommends the use of Inners and Booher's (2000) Collaborative Network Paradigm for Citizen Participation (refer to Chapter 3), as an alternative to the existing primary paradigm for public participation, that is based on the idea of direct communication between government and the individual citizen through activities like public hearings, public, education, elections, polls and written comments on proposals (Arnstein, 1969; Day, 1997 cited in Inners and Booher's 2000:26). Collaborative Network Paradigm for Citizen Participation in the case of the Back of Port Project. Where there is insufficient public participation and conflict between the Port Developers and Residents of Clairwood. It would create a network for democracy. In the sense that public entities would interact and build relationship with other various interest based entities, professional, government creating a multi-dimensional communication among themselves thus resolving issues at hand (see figure 14 below).

**Figure 14: Collaborative Network Paradigm for Citizen Participation in the Back of Port Project**



Collaborative Network Paradigm for Citizen Participation modified by the Researcher based on Inner and Booher, (2000)

In this sense, this paradigm will create a platform for local Residents of Clairwood to join forces with the Port Developers, City, Interest Based Entities, NGOs, Civil Groups, Ratepayers and various Professionals and to have a voice in decision making thus have control over the direction of the project from the initial phase to the implementation phase. In terms of Arnstein's theory this would be regarded as sharing of power between stakeholders. It would minimise individualistic interests; create collaborative mutual understanding between conflicting stakeholders and results effective participation.



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# Appendix 1



## **SCHOOL OF BUILT ENVIRONMENT AND DEVELOPMENT STUDIES**

**Master's Degree Research Dissertation**

**Researcher: Sanele Khawula (0722868881)**

**Supervisor: Dr Hayangah (0722692436)**

### **CONSENT LETTER**

I..... (Full names of the participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participate in the research project. I understand that I have the freedom to withdraw from the project any time I desire. I consent that I will answer the research interview questions to the best of my knowledge.

**SIGNATURE OF PARTICIPANT**

**DATE**

.....

# Appendix 2

*Questionnaires for Community Members of located surrounding old airport site*

1. What does South Durban area means to you?

Home	1
Place of work	2
Place you visit to	3

2. How long have you been residing in South Durban area?

Less than 5 years	1
More than 5 years	2

3. Do you do..... for living?

Farming	1
Fishing	2
None of the above	3

4. Do you have any cultural bond with the South Durban area?

Yes	1
No	2

5. What are your views on the port expansion development (back of port project)?

Agree-support	1
Against-oppose	2

6. Does port expansion development (back of port project) affect or benefits the area?

Affect	1	Explain your answer
Benefits	2	Explain your answer

7. What does public participation mean to you?

Yes	1
No	2

8. Do you regard public participation as the cornerstone of sustainable development?

Yes	1
No	2

9. Was the public encouraged to participate in the port blue print plan?

Yes	1
No	2
Do not know	3

10. If yes, what extent was public encouraged/involved (to) in the preparation plan of the port?

Efficient	1
Inefficient	2
Neutral	3

11. Was involvement (public participation) sufficient and effective?

Yes	1
No	2

# Appendix 3

### **Interview Question for Centre for Civil Society**

1. What is the rationale behind the establishment of Centre for Civil Society and upon which principles of society service?
2. What are the objectives for Centre for Civil Society as a Non-Profit Organisation?
3. Was the Centre for civil society involved in the Back of Port Project, if yes explain
4. Are human rights and cultural values of the surrounding communities somehow violated by the port expansion development (Back of Port)?
5. Do you think public participation is one of the main key component to be considered for the success of the project especially in third world or developing countries?
6. Would you say lack/insufficient public participation is the main cause for conflict between the developers and local residents in the case of port expansion project?
7. Do you believe in the following statement/phrase “‘NOTHING FOR US WITHOUT US”
8. Why?
9. Despite the promotion of participatory processes in urban spatial policy post 1994 do you think
  - (a) Government continues to perpetuate past practices
  - (b) Government interests continue to overshadow public interests in favor of economic development over social equity and the environment?
10. What is your view on the proposed back of port project to be implemented by eThekweni municipality?
11. As the advocate or civil society activist for the marginalised what is your view or take on port of Durban expansion development (Back of Port)?



# Appendix 4

### **Interview Questions for the chairperson of South Durban Community Environmental Alliance (SDCEA)**

1. What does port expansion development (Back of Port Project) means to the organisation?
2. Does port expansion development (Back of Port Project) affect or benefits the area?
3. Why?
4. What is nature of the organisation's relationship with Port Developers?
5. What is it that generates conflict between Port Developers and local residents?
6. What do you understand about public participation and what does it mean to you?
7. Was the SDCEA part of the initial port expansion (Back of Port) plan stakeholder forum?
8. If yes? What extent was the organisation involve in the preparation plan of the port?
9. What level did they involve the public or SDCEA in the....of the Back of Port Project
  - a) Planning phase
  - b) Design phase
  - c) Implementation phase
10. Was involvement the public participation
  - (a) Sufficient?
  - (b) Effective?
11. Do you believe in the following statement/phrase “‘NOTHING FOR US WITHOUT US”
12. Why?
13. Despite the promotion of participatory processes in urban spatial policy post 1994, do you think government continues to perpetuate past practices and government interests continue to overshadow public interests in favor of economic development over social equity and the environment?

# Appendix 5

## **Interview Questions for eThekweni Municipality Planner/Port Expansion Project Manager**

1. What are the reasons and impact of port expansion development in the 21st century particularly in developing countries like South Africa?
2. What are conflicting aims and objectives of port expansion development?
3. To what extent is South African policies and legislation (IDP, SDF, and NDP) in the post 1994 constitute public participation in spatial development?
4. What factors make public participation relevant to port development planning?
5. Do you think “participation” is about serving the needs of the public, not those of the public service?
6. Based on your experience, do you think that public participation can be achieved in practical? If yes explain
7. Are spatial development projects contested and commonly involves into conflict?
8. In your experience based on government spatial developments you have undertaken what is the main cause of conflict between government interest and people interest?
9. How can public participation (participatory planning) be used to reconcile the conflict between environmental protection, social equity and economic growth?
10. What level did you involve public participation..... in back of port project
  - (a) Planning phase
  - (b) Design phase
  - (c) Implementation phase
11. To what extent has public participation been used as a framework for port development planning?
12. Do you think that full engagement of people in any kind of development is essential to avoid conflict of interest thus ensuring the success of the plan and project?
13. As an experienced planner, what do you think is more important, a harmonious process of collaborative and deliberative participation with intangible outcomes or planning processes that come up with tangible outcomes, but lack the democratic aspect of collaborative planning?
14. Who do you see as a client, beneficiaries or the developers?